



## **User Guide**

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**Alberta Utilities Commission  
eFiling System User Guide**

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## Introduction

This guide describes how to use the electronic filing system (eFiling System) to apply to the Alberta Utilities Commission (AUC) for the necessary regulation and rate approvals for electric, gas, and water utilities; approvals for the construction and/or alteration and operation of power plants, substations, and transmission lines; and approval of market rules and standards proposed by the AESO. All applicable acts, regulations and rules referenced in this guide are available on the [AUC website](#).

Using the eFiling System, applicants can file applications and submit supporting documentation; interested parties can observe or participate in a proceeding by registering and providing associated filings.

All users must agree to the AUC [privacy policy](#) that is available on the AUC website.

All applications registered with the AUC, related public documents, and disposition documents dating back to 1974 are publically available.

Questions about the eFiling System should be sent to [info@auc.ab.ca](mailto:info@auc.ab.ca) or call 403-592-4500.

## System at a glance

The home page is shown when you first log-in to the eFiling System. It gives a snapshot of recent activity, notifications and upcoming schedule items.

In **Go to...** enter a proceeding or application number to move directly to the detail page.

Update your user account profile here.

The screenshot shows the eFiling System home page. At the top is a green header with the 'eFILING SYSTEM' logo and navigation links: Home, Request proceeding, Find, and How Do I...?. On the right of the header are user links: OakUser1Adm Oak\_org's profile, My organizational profile, and Sign out. Below the header, the page is divided into several sections. On the left, there is a 'Go to...' section with a search bar and a 'Go' button. Below this are links for 'My proceedings', 'My schedules', 'My notifications', and 'Reporting | Discussions'. Further down is a 'Quick tips' section with links for 'File application', 'Register to participate', 'Make a filing', and 'Upload documents'. The 'Recent notifications' section displays a table of notifications. On the right, the 'My schedules' section shows a table of upcoming items. Annotations with arrows point to specific features: one points to the 'Go to...' search bar, another points to the user profile links in the top right, and two others point to the 'Recent notifications' and 'My schedules' tables respectively.

Created	Proceeding	Subject	Type
2014/11/05	20020	20020-F0005: Argument.	Filing registration
2014/11/05	20020	20020-F0004: Correspondence - external.	Filing registration
2014/11/05	20020	20020-F0003: Statement of intent to participate.	Filing registration
2014/11/05	20020	Group Elm Group: represented by: Elm Test Org registered to participate.	Participant added
2014/11/05	20020	Information Request & Information Response schedule items added (Title: Request Round 1 by Intervener).	Schedule item created
2014/11/05	20020	Hearings schedule added (Title: Test hearing for Nov. 12, 2014).	Schedule item created
2014/11/05	20020	Argument schedule added (Title: Test argument ).	Schedule item created
2014/11/05	20020	20020-F0002: Statement of intent to participate.	Filing registration
2014/11/05	20020	Intervener: LarchUser Larch_indiv: represented by: Elm Test Org registered to participate.	Participant added
2014/11/05	20020	20020-F0001: Statement of intent to participate.	Filing registration

Start date	Closing date	Schedule item	Proceeding	Proceeding description
2014/11/12	2014/11/14	Hearing	20020	Application for ...

View your most recent notifications.

View upcoming proceeding scheduled items such as meetings and hearings.

## Main toolbar

The main toolbar and the functions on it are available at all times in the eFiling System.

The screenshot shows the top navigation bar of the eFiling System. It includes the 'eFILING SYSTEM' logo, 'Alberta Utilities Commission', and a search bar. The main navigation menu has links: Home, Request proceeding, Find, and How Do I...?. On the right, there are links for 'OakUser1Adm Oak\_org's profile', 'My organizational profile', and 'Sign out'. Annotations with arrows point to these links: 'Return to your Home page' points to Home; 'Request a new Proceeding' points to Request proceeding; 'Applications, Dispositions, Filings, Organizations, Proceedings' points to Find; 'How Do I...? opens links to the user guide.' points to How Do I...?; and 'Search the content of files in the eFiling System.' points to the search bar. Below the search bar, there are tabs for 'All Sites', 'Applications', 'Filings', and 'Dispositions', and a search input field with the value '20164'.

## Go to...

The screenshot shows the 'Go to...' search box. It has a text input field with the value '20164' and a 'Go' button. Below the input field, there is a link: 'My proceedings | My schedules | My notifications | Reporting | Discussions'.

Enter a proceeding or application number and click **Go**.

**Go to...** is also where you can quickly access the following:

**My proceedings** lists your draft (as applicant) and active (as registered party) proceedings.

**My schedules** lists hearings, meetings and scheduled items for all active proceedings where you are a registered party (including as observer).

**My notifications** lists all notifications for all active proceedings where you are an applicant or registered participant.

**Reporting** is used to submit special reports to the AUC, for example, those required for Rule 002 and Rule 005.

**Discussions** lists current discussion communities.

The Proceeding home page shows applications, schedule process steps and recent activity including filings, registrations, documents and notifications.

The screenshot shows the 'Proceeding 20020' home page. It has a left sidebar with a 'Navigation menu' containing links: 'Proceeding home', 'Applications', 'Dispositions', 'Documents', 'Filings', 'Notifications', 'Registered parties', and 'Proceedings'. The main content area is divided into sections: 'General information' (ID: 20020, Status: Active, Registered: 2014/11/05), 'Related proceedings', 'Contacts', 'Applications' (a table with columns: Application, Application status, Application category, Application type, Location, Electric facility ID, Registration date, Applicant ref. no.), 'Schedule' (a table with columns: Title, Type, Start date T, Closing date, Location), 'Process' (a table with columns: Title, Type, Start date, Closing date T), and 'Recent activity' (a table with columns: Filing, Registered parties, Documents, Notifications). Annotations with arrows point to the 'Navigation menu' and the 'Recent activity' table.

Access a detail page from the left navigation menu to work or view the data.

Access Find, How Do I... and Search on the top toolbar at any time.

Additional detail information is shown on different tabs.

Applicant name	Applicant type	Primary contact	Secondary contact
Oak Test Org	Primary applicant	OakUser1Admin Oak_org	None
Pine Test Org	Co-applicant	PineUser1 Pine_org	PineUser2 Pine_org

## Navigation menu

Use the navigation menu to open detail pages with information about:

- applications and documents submitted with the application
- proceeding applicants (primary applicant, co-applicants and representatives)
- the disposition of the proceeding applications
- documents that can be zipped and downloaded
- proceeding filings
- proceeding notifications
- registered parties
- schedule process items

## Create and manage user accounts

Different types of accounts can be set up with the AUC to access the eFiling System.

Organizational users (formerly business associates) include applicants, utility companies, municipalities, law firms, consulting organizations, and intervener associations. [Organizational user accounts](#) are set up and maintained by the organization's eFiling System administrator. You have the right to update your own account profile.

A [single user account](#) (formerly a non-business associate) provides access to proceedings and related documents and gives you the right to edit, modify and terminate your own account profile.



The eFiling System replaces the Petroleum Registry business associate (BA) codes with AUC participant codes. Previously assigned BA codes are brought forward as participant codes.

## Create an organizational account

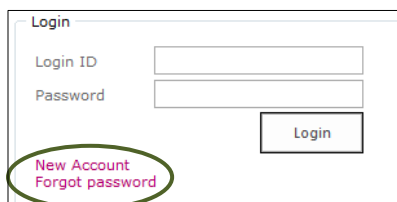
An organization can request to be registered in the eFiling System by contacting the AUC at [info@auc.ab.ca](mailto:info@auc.ab.ca) with the following information:

- organization name,
- address, and
- name, email address and phone number of the person to be assigned as the organization's eFiling System administrator.

A confirmation that the account has been created and a system-generated password is sent to the organization's eFiling System administrator's email address (see [Appendix 4: Organization's system administrator](#)).

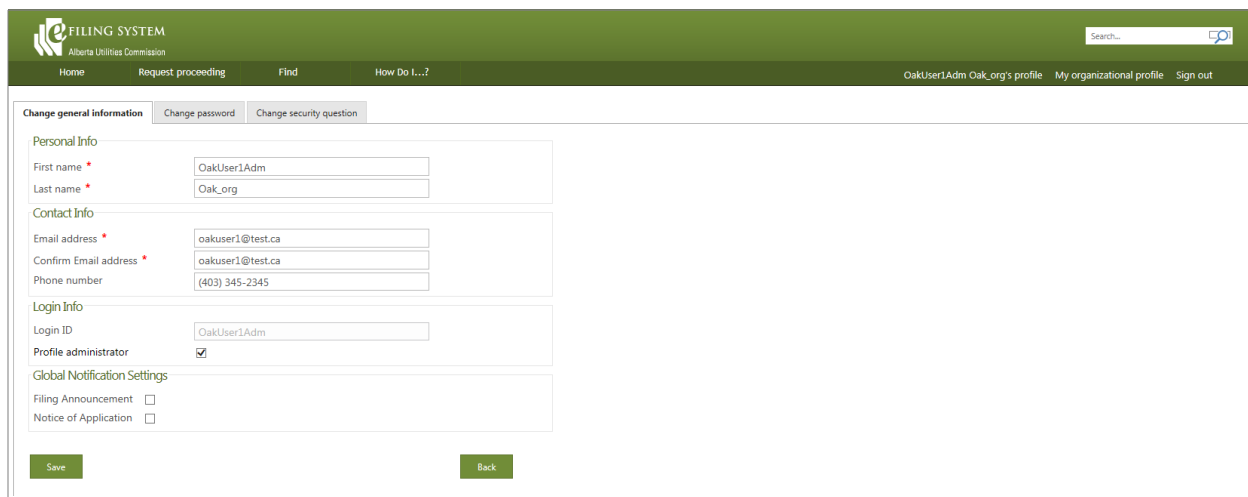
## Create a single user account

1. Access the eFiling System website and select **New account**.



If you are part of an organization, your organization's eFiling System administrator will create an account profile on your behalf.

All users must agree to the AUC [privacy policy](#) available on the AUC website.



2. Enter information on the registration form. Fields with a red star \* are mandatory. Mandatory fields include:
  - First and last name
  - Email address (this must be a unique email address in the eFiling System)  
(If you do not have an email address, your name, mailing address and phone number are mandatory fields).
  - Confirmation of email address (this must be the exact duplicate of the email address)
  - Login ID (enter a unique ID to use the eFiling System– the format is that of an email address with no spaces or special characters)

An email is sent to the address entered with the system generated password ([change this password](#) at any time in your user profile).

## Manage accounts

### Change general account information

Log into the eFiling System. Select your profile on the top right menu bar. You can update all information except your login ID.

Select the [global notification settings](#) checkboxes to receive an email of filing announcements and/or notices of application for all eFiling proceedings.



Click here to open your Profile page.

## Change password

Select the Change password tab to update your password. A password must be at least six characters long and have at least one alphanumeric character.

## Change your security question

The case-sensitive answer to the security question is used if you [forget your password](#).

## Forgot password

If you forget your password, click **Forgot password** and enter your login ID.

You are prompted to answer your security question. Enter your case-sensitive security answer and click

**Reset password**

to have a new password sent to your email.

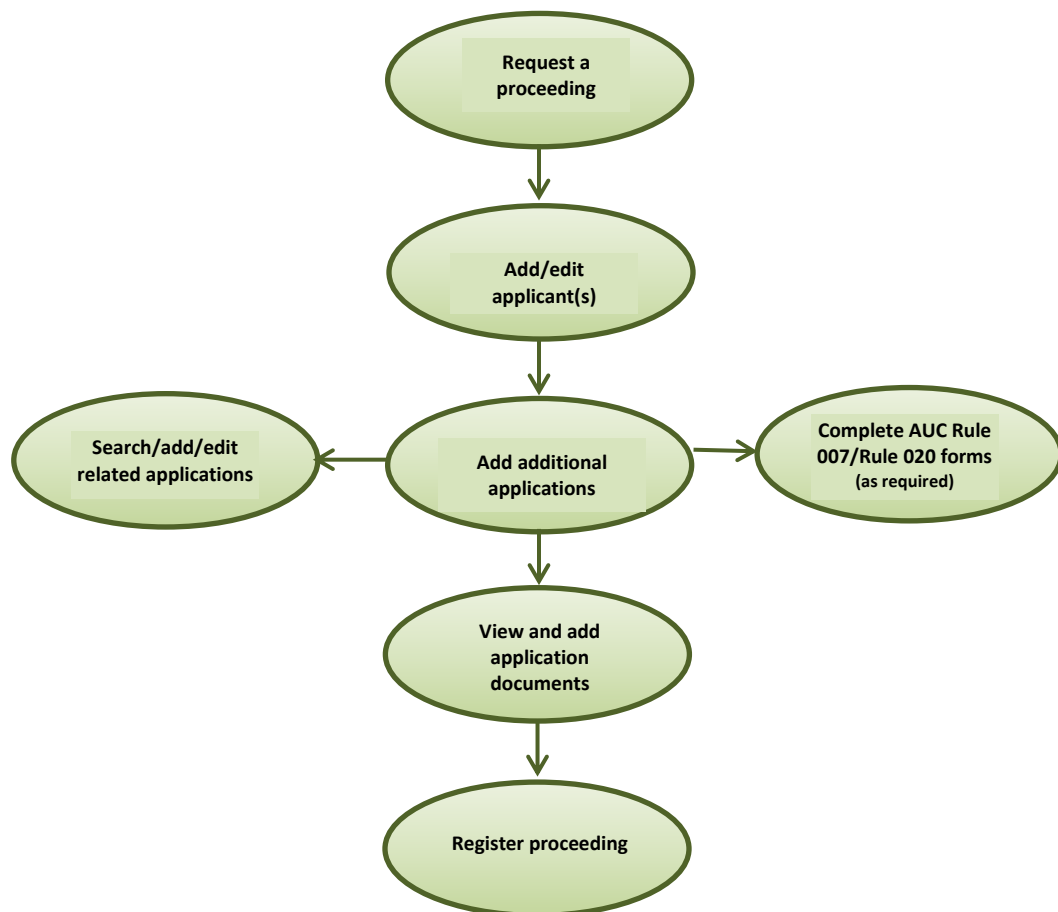
If you've forgotten your login ID, you can enter your email address. If you've forgotten your email address, you need to contact your organization's eFiling System administrator or the AUC at [info@auc.ab.ca](mailto:info@auc.ab.ca).

## Proceedings

Applications are filed as part of a proceeding. Within a proceeding you will find:

- applications
- applicants
- application, filing and disposition documents
- notifications
- registered parties
- schedules
- filings
- related proceedings.

This is the overall flow to follow when creating an application.



## Request a new proceeding

To request a proceeding:

1. Click **Request proceeding** on the main menu bar.
2. Enter a description and reason for the project or application.
3. Click **Continue**.

The screenshot shows the 'Request proceeding' form in the eFiling System. The form is titled 'Request proceeding' and includes a sub-header 'Add a description below for the new proceeding and click the continue button:'. Below this, there is a text input field labeled 'Proceeding description:' containing the text 'Company TTT Electric General Rates application, June 30, 2015'. To the right of the input field is a green circle with the number '2'. Below the input field, there are two buttons: 'Continue' (with a green circle containing the number '3' to its left) and 'Cancel'. A note is displayed between the buttons: 'Note: You will need to create an application and have at least 1 applicant to register the proceeding.' The form is part of a larger interface with a green header bar containing the 'eFILING SYSTEM' logo and the text 'Alberta Utilities Commission'. The header bar also includes navigation links: 'Home', 'Request proceeding' (highlighted with a green circle containing the number '1'), 'Find', and 'How Do I...?'. The form is enclosed in a light gray border with a close button (X) in the top right corner and a scroll bar on the right side.

Ensure that your proceeding description will stand the test of time. An example of a good description is "Company TTT, Electric General Rate application, June 30, 2015". This description can be updated at any time before being registered in the eFiling System.

## Applicants

All proceeding applicants must have an active eFiling System user account. You may register in a proceeding as a primary applicant, a co-applicant or as an official representative of an applicant.

If you log into the eFiling System as a single user and create an application, by default you are the primary applicant and your contact information is automatically entered.

You can then add co-applicants and representatives (formerly Law firm or Consultant). You can also assign another applicant as the primary applicant and make yourself a co-applicant if required. One primary applicant must be entered; co-applicants and representatives are optional.

If you are part of an organization and create an application, the applicant will be the name of the organization. You must enter the primary contact information; a secondary contact is optional.

The applicant list created for a proceeding applies to all applications until the proceeding is registered. Any changes made to the applicant list while the proceeding is in draft form apply to all applications in the proceeding. Only the AUC can change the applicants for specific applications after the proceeding is registered.

## Add an applicant

To add an applicant, first select **Applicants** in the left navigation menu and then click **Add applicant**.

Applicant name	Actions	Applicant type
Oak Test Org		Primary applicant

### Step 1: Pick the applicant

In the pop-up box, first pick the applicant using **Select applicant**.

Step 1: Select the applicant  
Applicant: Select applicant

Step 2: Select the applicant type  
Applicant type: Primary applicant

Step 3: Select your contacts  
My primary contact is: Select primary contact  
My secondary contact is: Select secondary contact

Save Cancel

If you log into the eFiling System as a single user and create an application, your contact information as the primary applicant is automatically entered.

In the search pop-up box, enter the name (or any letters in the name) of the applicant or organization and click **Search**.

Select an applicant

Search for an applicant to register: Pine test Search

Select	Name	Telephone	Address	Email
<span>Select</span>	Pine Test Org		300 Pine Way	

Locate the applicant in the list and click **Select** beside the name.

Applicant type

- Co-Applicant
- Co-Applicant
- Primary Applicant
- Representative

From the drop-down list, select if this is to be the primary applicant, co-applicant or a representative. Only one primary applicant can be assigned. If you need to change a primary applicant, either set the original primary applicant type to co-applicant and assign a new primary applicant or add another applicant as primary and both will be changed to co-applicant.

As a representative of an applicant, you can add additional co-applicants (if an applicant does not exist in the eFiling System, [create a new single user account](#)).

A representative has access to the proceeding and related documents but does not have permission to edit the account profile. As a representative, you are legally responsible for the accuracy and completeness of this filing and all supporting technical information.

### Step 3: Pick your contacts

A primary contact is required for both organizational and single user applicants. A primary contact, and an optional secondary contact, must be assigned for organization. As a single user you are the primary contact.

### View, edit and delete applicants

Before the proceeding is registered, it is in draft form. In draft form the applicant, co-applicant or representative can change the applicant and contact information. All applicants are connected to all applications, and any changes to applicant information automatically apply to all applications in the proceeding.

After a proceeding is registered in the eFiling System, only AUC staff assigned to the proceeding can change applicant information. This includes adding, changing or suspending the applicant and contact information. Any change to the applicant information affects only the selected application.

#### To view and edit an applicant

Select the applicant from the list in the Applicants page.

The screenshot shows the 'Applicants' page with a table of applicants. A pop-up menu is open over the 'Actions' column, showing options: 'Please click an action', 'DELETE', and 'CHANGE APPLICANT TYPE'. The table has columns: Applicant name, Actions, Applicant type, Primary contact, and Secondary contact. The first two rows are 'Oak Test Org' and 'Pine Test Org'. The third row is 'CedarUser Cedar\_indiv' with a green link next to the name.

Applicant name	Actions	Applicant type	Primary contact	Secondary contact
Oak Test Org	ⓘ		OakUser1Adm Oak_org	None
Pine Test Org	ⓘ		PineUser1 Pine_org	PineUser2 Pine_org
<i>Representatives are shown here until registration. Post-Registration they are shown only in Registered Parties.</i>				
<b>Applicant Name</b>	<b>Actions</b>	<b>Applicant Type</b>	<b>Primary Contact</b>	<b>Secondary Contact</b>
CedarUser Cedar_indiv	ⓘ	Representative	<a href="#">CedarUser Cedar_indiv</a>	<a href="#">None</a>

Click the action icon ⓘ beside a name to either delete the applicant or change the applicant type (primary or co-applicant or representative)

#### To change a contact

Click the contact name and select CHANGE CONTACT in the pop-up box to reassign a contact person.

The screenshot shows the 'Applicants' page with a table of applicants. A pop-up menu is open over the 'Primary contact' column, showing options: 'Name: PineUser1 Pine\_org', 'Email: PineUser1@test.ca', 'Telephone: (780) 123-1238', and 'CHANGE CONTACT'. The table has columns: Applicant name, Actions, Applicant type, Primary contact, and Secondary contact. The first two rows are 'Oak Test Org' and 'Pine Test Org'. The third row is 'CedarUser Cedar\_indiv' with a green link next to the name.

Applicant name	Actions	Applicant type	Primary contact	Secondary contact
Oak Test Org	ⓘ	Primary applicant	OakUser1Adm Oak_org	
Pine Test Org	ⓘ	Co-applicant	PineUser1 Pine_org	
<i>Representatives are shown here until registration. Post-Registration they are shown only in Registered Parties.</i>				
<b>Applicant Name</b>	<b>Actions</b>	<b>Applicant Type</b>	<b>Primary Contact</b>	<b>Secondary Contact</b>
CedarUser Cedar_indiv	ⓘ	Representative	<a href="#">CedarUser Cedar_indiv</a>	<a href="#">None</a>

## Applications

An application can be created either as a new proceeding or as part of an existing draft proceeding. A proceeding can include one or as many as 99 applications.

Each application must be created separately. As applicant, for each application you need to provide:

- the type of application (**required**),
- a description of the application (**required**),
- the applicable legislation and/or AUC rule, and
- additional information requested for Rule 007 applications for electric facilities and for Rule 020 applications for gas utility pipelines.

Information can be copied between applications in a proceeding (see [Clone an application](#)). This is useful if multiple applications or a series of applications with similar information are submitted as part of a single proceeding.

If a restricted application type (preferential sharing of records) is selected for the first application, all further applications created in the proceeding must be restricted as well (see [Restricted proceedings](#)).

## Application types

### AUC Rules

#### AUC Rule 005

Type	Description
Filing date extension	Applications requesting approval for an extension to the required date of filing pursuant to Section 6 of AUC <a href="#">Rule 005: Annual Reporting Requirements of Financial and Operational Results</a> .

### Codes of conduct

#### Gas code of conduct

Type	Description
Code exemption request	Requests for approval of an exemption from any provision of the regulation pursuant to Section 41 of the <a href="#">Gas Utilities Act Code of Conduct Regulation</a> .
Compliance audits	Applications requesting approval of an auditor and audit plan, and filing of the audit report under sections 38 and 40 of the <i>Gas Utilities Act Code of Conduct Regulation</i> .
Compliance plan amendment	Applications requesting approval to amend compliance plan under Section 32 of the <i>Gas Utilities Act Code of Conduct Regulation</i> .

#### Inter-affiliate code

Type	Description
Compliance plan amendment	Application requesting approval to amend a compliance plan under the inter-affiliate code of conduct.
Inter-affiliate code of conduct exemption request	Applications requesting approval for an exemption from any provision of the inter-affiliate code of conduct.

## Cost recovery

### Cost claims

Type	Description
Facility local intervenor costs	Cost claims for facility application proceedings pursuant to <a href="#">Rule 009: Rules on Local Intervener Costs</a> .
Market Surveillance Administrator costs	Cost claims by the Market Surveillance Administrator pursuant to <a href="#">Rule 015: Rules on Costs of Investigations, Hearings, or Other Proceedings Related to Contraventions</a> .
Need proceeding costs	Cost claims for needs identification document application proceedings pursuant to Rule 009: Rules on Local Intervener Costs or <a href="#">Rule 022: Rules on Intervener Costs in Utility Rate Proceedings</a> .
Utility rate proceeding costs	Cost claims for rate application proceedings pursuant to Rule 022: Rules on Intervener Costs in Utility Rate Proceedings.
Energy price setting plan costs	Cost claims for energy price setting plan applications pursuant to Rule 022: Rules on Intervener Costs in Utility Rate Proceedings.

## Decision reviews

### Review and variance

Type	Description
Cost decision review - stage 1	Applications for a review relating to a costs decision made under Section 21 or Section 22 of the <a href="#">Alberta Utilities Commission Act</a> .
Cost decision review - stage 2	Reviews that have been granted by the Commission through a stage 1 application relating to a costs decision made under Section 21 or Section 22 of the <i>Alberta Utilities Commission Act</i> .
Electric utility tariff decision review - stage 1	Applications for review of a decision approving a tariff under the <a href="#">Electric Utilities Act</a> by a person affected by the decision.
Electric utility tariff decision review - stage 2	Reviews that have been granted by the Commission through a stage 1 application of a decision approving a tariff under the <i>Electric Utilities Act</i> by a person affected by the decision.
Facility decision review - stage 1	Applications for review of a decision relating to a hydro development, power plant, transmission line or gas utility pipeline.
Facility decision review - stage 2	Hearing to consider whether to vary a decision of the Commission relating to a hydro development, power plant, transmission line or gas utility pipeline.
Gas utility rates decision review - stage 1	Applications for review of a decision fixing rates, tolls or charges for a gas utility, under Section 36 of the <a href="#">Gas Utilities Act</a> .
Gas utility rates decision review - stage 2	Hearing to consider whether to vary a decision of the Commission relating to fixing rates, tolls or charges for a gas utility, under Section 36 of the <i>Gas Utilities Act</i> .
Independent system operator decision review - stage 1	Applications for review of a decision relating to the independent system operator
Independent system operator decision review - stage 2	Hearing to consider whether to vary a decision of the Commission relating to the independent system operator.
Market Surveillance Administrator decision review - stage 1	Applications for review of a decision relating to the Market Surveillance Administrator.

Type	Description
Market Surveillance Administrator decision review - stage 2	Hearing to consider whether to vary a decision of the Commission relating to the Market Surveillance Administrator.
Needs decision review - stage 1	Applications for review of a decision on a needs identification document.
Needs decision review - stage 2	Hearing to consider whether to vary a decision of the Commission relating to a needs identification document.
Preferential sharing of records decision review - stage 1	Applications for review of a decision relating to preferential sharing of records.
Preferential sharing of records decision review - stage 2	Hearing to consider whether to vary a decision of the Commission relating to preferential sharing of records.
Reliability standards decision review - stage 1	Applications for review of a decision relating to reliability standards.
Reliability standards decision review - stage 2	Hearing to consider whether to vary a decision of the Commission relating to reliability standards.
Water utility rates decision review - stage 1	Applications for review of a decision fixing rates, tolls or charges for a water utility, under the <a href="#">Public Utilities Act</a> by a person affected by the decision.
Water utility rates decision review - stage 2	Hearing to consider whether to vary a decision of the Commission relating to fixing rates, tolls or charges for a water utility, under the <i>Public Utilities Act</i> by a person affected by the decision.
Generic - stage 1	Applications for review of a decision of the Commission respecting a generic proceeding.
Generic - stage 2	Hearing to consider whether to vary a decision of the Commission respecting a generic proceeding.
Miscellaneous - stage 1	Applications for review of a decision respecting a miscellaneous issue.
Miscellaneous - stage 2	Hearing to consider whether to vary a decision of the Commission respecting a miscellaneous issue.

## Designated public utilities

### Financing

Type	Description
Equity or debt issuance	Applications requesting approval to issue shares, stock or bonds, or other evidences of indebtedness under Section 101(2)(a) of the <a href="#">Public Utilities Act</a> or Section 26(2)(a) of the <a href="#">Gas Utilities Act</a> .

### Property franchises

Type	Description
Disposition encumbrance merger	Applications requesting approval of matters under Section 101(2)(d) of the <a href="#">Public Utilities Act</a> or Section 26(2)(d) of the <a href="#">Gas Utilities Act</a> .



## Electric and gas distribution

### Electric distribution

Type	Description
Franchise agreement	Applications seeking approval of an agreement (new, amended or renewed) that grants a right to provide a utility service in a municipality.
Franchise fee rate rider	Applications seeking approval of rate riders used by a public utility to collect franchise fees pursuant to agreements with municipalities to provide utility services in the municipality.
General tariff application - phase 1	Requests for approval of a revenue requirement under rate-of-return regulation (phase 1). Could include interim rate requests, rate riders, terms and conditions if applicant prefers to include here rather than separate. Includes compliance applications.
General tariff application - phase 2	Requests for approval of cost allocations and rates to recover revenue requirements (phase 2). Could include interim rate requests, rate riders, terms and conditions if applicant prefers to include here rather than separate. Includes compliance applications.
Interim rates	Applications requesting approval of interim rates prior to final rates being approved. This application type also includes any compliance applications filed in response to the foregoing matters.
Miscellaneous	Applications on any other matter not covered under one of the other application types in the electric distribution application category.
Negotiation request	Applications requesting approval to commence negotiations pursuant to <a href="#">Rule 018: Rules on Negotiated Settlements</a> .
Performance-based regulation - annual rate adjustment	Annual applications requesting approval of proposed rate adjustments to be effective on January 1 of the upcoming year.
Performance-based regulation - K factor	Applications requesting approval to fund certain capital-related costs through a capital factor. This application type also includes any compliance applications filed in response to the foregoing matter.
Performance-based regulation - miscellaneous	Applications on any performance-based regulation matter not covered under one of the other performance-based regulation application types in the electric distribution application category.
Performance-based regulation - Y factor	Applications requesting approval to collect certain costs through a Y factor. This application type also includes any compliance applications filed in response to the foregoing matter.
Performance-based regulation - Z factor	Applications requesting approval of an exogenous event to be treated as a Z factor. This application type also includes any compliance applications filed in response to the foregoing matter.
Performance-based regulation plans	Applications requesting approval of performance-based regulation plans. This application type also includes any compliance applications filed in response to the foregoing matters.
Rate riders	Applications requesting approval of a rate rider including balancing pool rider, transmission charge deferral account rider or any other special riders.
Tariff for information	Applications pursuant to Section 6 of the <a href="#">Distribution Tariff Regulation</a> whereby an owner of an electric distribution system must provide a copy of its distribution tariff to the Commission for information if the Commission is not the relevant regulatory authority.
Terms and conditions of service	Applications requesting approval of terms and conditions of service. This application type also includes any compliance applications filed in response to the foregoing matters.

## Gas distribution

Type	Description
Franchise agreement	Applications seeking approval of an agreement (new, amended or renewed) that grants a right to provide a utility service in a municipality.
Franchise fee rate rider	Applications seeking approval of rate riders used by a public utility to collect franchise fees pursuant to agreements with municipalities to provide utility services in the municipality.
General rate application - phase 1	Requests for approval of a revenue requirement under rate-of-return regulation (phase 1). Could include interim rate requests, rate riders and terms and conditions if applicant prefers to include here rather than separate. Includes compliance applications.
General rate application - phase 2	Requests for approval of cost allocations and rates to recover revenue requirements (phase 2). Could include interim rate requests, rate riders and terms and conditions if applicant prefers to include here rather than separate. Includes compliance applications.
Interim rates	Applications requesting approval of interim rates prior to final rates being approved. This application type also includes any compliance applications filed in response to the foregoing matters.
Miscellaneous	Applications on any other matter not covered under one of the other application types in the gas distribution application category.
Negotiation request	Applications requesting approval to commence negotiations pursuant to <a href="#">Rule 018: Rules on Negotiated Settlements</a> .
Performance-based regulation - annual rate adjustment	Annual applications requesting approval of proposed rate adjustments to be effective on January 1 of the upcoming year.
Performance-based regulation - K factor	Applications requesting approval to fund certain capital-related costs through a capital factor. This application type also includes any compliance applications filed in response to the foregoing matter.
Performance-based regulation - miscellaneous	Applications on any performance-based regulation matter not covered under one of the other performance-based regulation application types in the gas distribution application category.
Performance-based regulation - Y factor	Applications requesting approval to collect certain costs through a Y factor. This application type also includes any compliance applications filed in response to the foregoing matter.
Performance-based regulation - Z factor	Applications requesting approval of an exogenous event to be treated as a Z factor. This application type also includes any compliance applications filed in response to the foregoing matter.
Performance-based regulation plans	Applications requesting approval of performance-based regulation plans. This application type also includes any compliance applications filed in response to the foregoing matters.
Rate riders	Applications requesting approval of a rate rider including load balance deferral account riders, transmission service charge riders, weather deferral account riders or other special rate riders. This application type also includes any compliance applications.
Tariff for information	Applications to submit a schedule of rates, tolls and charges for rural gas co-operative associations or municipal gas utilities under Section 30 of the <a href="#">Gas Distribution Act</a> .
Terms and conditions of service	Applications requesting approval of terms and conditions of service. This application type also includes any compliance applications filed in response to the foregoing matters.

## Electric and gas transmission

### Electric transmission

Type	Description
General tariff application	Requests by a transmission facility owner or the Alberta Electric System Operator for revenue requirement approval (phase 1) or cost allocations\rates (phase 2). Could include interim rates, rate riders and terms and conditions if applicant prefers to include here rather than separate. Includes compliance applications.
Interim rates	Applications requesting approval of interim rates prior to final rates being approved. This application type also includes any compliance applications filed in response to the foregoing matters.
Miscellaneous	Applications from transmission facility owners or the Alberta Electric System Operator on any other matter not covered under one of the other application types in the electric transmission application category.
Negotiation request	Applications requesting approval to commence negotiations under <a href="#">Rule 018: Rules on Negotiated Settlements</a> .
Performance based regulation plans	Applications requesting approval of performance-based regulation plans. This application type also includes any compliance applications filed in response to the foregoing matters.
Rate riders	Applications requesting approval of a rate rider.
Terms and conditions of service by transmission facility owners	Applications requesting approval of terms and conditions of service by transmission facility owners.
Terms and conditions of service by the Alberta Electric System Operator	Applications requesting approval of terms and conditions of service by the Alberta Electric System Operator.

### Gas transmission

Type	Description
General rate application - phase 1	Requests for approval of a revenue requirement under rate-of-return regulation (phase 1). Could include interim rate requests, rate riders and terms and conditions if applicant prefers to include here rather than separate. Includes compliance applications.
General rate application - phase 2	Requests for approval of cost allocations and rates to recover revenue requirements (phase 2). Could include interim rate requests, rate riders and terms and conditions if applicant prefers to include here rather than separate. Includes compliance applications.
Interim rates	Applications requesting approval of interim rates prior to final rates being approved. This application type also includes any compliance applications filed in response to the foregoing matters.
Miscellaneous	Applications on any other matter not covered under one of the other application types in the gas transmission application category.
Negotiation	Applications requesting approval to commence negotiations pursuant to <a href="#">Rule 018: Rules on Negotiated Settlements</a> .
Performance-based regulation plans	Applications requesting approval of performance-based regulation plans. This application type also includes any compliance applications filed in response to the foregoing matters.
Rate riders	Applications requesting approval of a rate rider. Includes any compliance applications.

## Electric facilities

### Distribution facilities, areas and boundaries

Type	Description
Distribution enquiry proposal	Proposals for minor alterations to existing electric distribution facilities.
Rural Electrification Association	Applications for changes to the Rural Electrification Association boundaries, amalgamations and sale and transfer to utilities.
Service area	Applications for the area in which an electric distribution system may distribute electric energy.

### Industrial system designations

Type	Description
Industrial system designation	Applications for designation of the whole or any part of an electric system as an industrial system (where the system is primarily intended to serve one or more industrial operations and meets criteria outlined in Section 4 of the <a href="#">Hydro &amp; Electric Energy Act</a> ).
Industrial system designation interconnection	Applications by owners/holders of an industrial system designation for the connection of its works with other works or proposed works.
Industrial system designation ownership change	Applications for approval to sell, transfer or otherwise change the ownership of assets designated to be part of an industrial system.

### Micro-generation

Type	Description
Cost disputes	Applications to the AUC to rule on the applicability of additional utility costs to serve a micro-generation site under the <a href="#">Micro-generation Regulation</a> and <a href="#">Rule 024: Rules Respecting Micro-generation</a> .
Definition disputes	Applications to the AUC to rule on the definition of a micro-generation customer.
Meter disputes	Applications to the AUC to rule on the designation of the meter type to be provided under the <a href="#">Micro-generation Regulation</a> .
Other disputes	Applications submitted to make a decision about disputes not outlined within the <a href="#">Micro-generation Regulation</a> .

### Need identification

Type	Description
Needs identification document	Applications by the Alberta Electric System Operator for the approval of a needs identification document.
Needs stipulation	A request for a time extension for the needs identification document approval where the construction, alteration, or connection of a transmission project, by a transmission facility owner, is not expected to be completed by the previously approved date.

### Power generation

Type	Description
Hydro development	Applications to construct and/or operate a hydro development under the <a href="#">Hydro and Electric Energy Act</a> .
Power plant	Applications for the construction, operation or alteration of power generation and associated facilities from any energy source including wind or solar.

Type	Description
Power plant enquiry proposal	Proposals for minor alterations to existing electric power plant facilities.
Power plant exemption	Applications for exemption from Section 11 of the <i>Hydro and Electric Energy Act</i> .
Power plant interconnection	Applications by owners or operators of a power plant for the connection of its works with other works or proposed works.
Power plant ownership changes	Applications for approval to sell, transfer or otherwise change the ownership of power plant assets.
Power plant stipulation	A request for approval of a time extension for the construction, alteration or connection of a power plant, under Section 19 of the <i>Hydro and Electric Energy Act</i> .

#### Transmission lines and substations

Type	Description
Substation	Applications for a part of a transmission line that is not a transmission circuit and includes equipment for transforming, compensating, switching, rectifying or inverting electric energy flowing to, over or from the transmission line.
Transmission enquiry proposal	Proposals for minor alterations to existing electric transmission facilities.
Transmission Interconnection	Applications by owners or operators of a transmission line or substation for the connection of its works with other works or proposed works.
Transmission line	Applications for a system of lines of wire or other conductors whereby electric energy is transmitted in bulk (transmission circuits, insulating and supporting structures, operational and control devices and all property).
Transmission ownership changes	Applications for approval to transfer or change the ownership of electric transmission assets pursuant to Section 19 of the <a href="#">Hydro and Electric Energy Act</a> .
Transmission stipulation	A request for approval of a time extension for the completion of construction, alteration or connection of an electric transmission line or substation under Section 19 of the <i>Hydro and Electric Energy Act</i> .

#### Enforcement

Type	Description
Enforcement	Applications requesting a hearing or other proceeding respecting failure to comply with any legislation under the Commission's jurisdiction or a Commission decision, order or rule.

#### Gas facilities

##### Pipelines

Type	Description
Pipeline - amendment	Applications for amendments and additions to existing gas utility pipeline licences, under the <a href="#">Gas Utilities Act</a> and the <a href="#">Pipeline Act</a> .
Pipeline - installation amendment	Applications for amendments and additions of installations (i.e. compressors) on existing gas utility pipeline licences, under the <i>Gas Utilities Act</i> and the <i>Pipeline Act</i> .
Pipeline installation - new	Applications for new installations on new gas utility pipeline licences (i.e. compressors), under the <i>Gas Utilities Act</i> and the <i>Pipeline Act</i> .
Pipeline - new	Applications for new gas utility pipeline licence under the <i>Gas Utilities Act</i> and the <i>Pipeline Act</i> .
Pipeline - test medium	Applications for approval to test a pipeline using test medium other than fresh water, under sections 35 or 36 of the <a href="#">Pipeline Regulation</a> .
Pipeline - transfer	Applications for name changes, amalgamations and transfers of gas utility pipelines.

## Market oversight

### Electricity and gas markets

Type	Description
Electricity market	Other miscellaneous applications related to electricity market matters.
Wholesale natural gas market	Applications related to the wholesale natural gas markets.

### Independent system operator

Type	Description
Independent system operator complaint	Written complaints pursuant to Section 26(1) of the <a href="#">Electric Utilities Act</a> about the conduct of the independent system operator.

### Independent system operator rules

Type	Description
Independent system operator rule amendment	Filings pursuant to Section 20.2 of the <a href="#">Electric Utilities Act</a> and <a href="#">Rule 017: Procedures and Process for Developing Independent System Operator Rules</a> with the Alberta Utilities Commission for amendments to independent system operator rules.
Independent system operator rule complaint	Pursuant to Section 25 of the <i>Electric Utilities Act</i> , written complaints by market participants about an independent system operator rule that is in effect or an independent system operator fee.
Independent system operator rule expedited	Filings pursuant to Section 20.6 of the <i>Electric Utilities Act</i> and <a href="#">Rule 017: Procedures and Process for Developing Independent System Operator Rules</a> for expedited new, expedited amendments or expedited removal of independent system operator rules.
Independent system operator rule new	Filings pursuant to Section 20.2 of the <i>Electric Utilities Act</i> and <a href="#">Rule 017: Procedures and Process for Developing Independent System Operator Rules</a> for new independent system operator rules.
Independent system operator rule removal	Filings pursuant to Section 20.2 of the <i>Electric Utilities Act</i> and <a href="#">Rule 017: Procedures and Process for Developing Independent System Operator Rules</a> for removal of independent system operator rules.
Rule compliance	Filings required by the AUC, for directed changes to an independent system operator rule, or the provision of it, under Section 20.5(1)(c) or Section 25(6)(e) of the <i>Electric Utilities Act</i> .

### Market surveillance administrator

Type	Description
Administrative notice	A notice filed by the Market Surveillance Administrator pursuant to Section 51 of the <a href="#">Alberta Utilities Commission Act</a> requesting a hearing or proceeding respecting a contravention.
Market Surveillance Administrator complaint	Written complaints pursuant to Section 58 of the <i>Alberta Utilities Commission Act</i> about the conduct of the Market Surveillance Administrator.
Specified penalty notice	A notice filed by the Market Surveillance Administrator pursuant to Section 52 of the <i>Alberta Utilities Commission Act</i> requesting a hearing or proceeding for a contravention of an independent system operator rule for which a penalty has been specified.

## Records sharing

Type	Description
Preferential sharing of records	Preferential sharing of records applications pursuant to Section 3 of the <a href="#">Fair, Efficient and Open Competition Regulation</a> .

## Reliability standards

Type	Description
Amendments for approval	Filings pursuant to Section 19(4) of the <a href="#">Transmission Regulation</a> to amend, supplement or replace reliability standards, agreements, criteria or directives with the independent system operator's recommendation that the Commission approve.
Amendments for rejection	Filings pursuant to Section 19(4) of the <a href="#">Transmission Regulation</a> to amend, supplement or replace reliability standards, agreements, criteria or directives with the independent system operator's recommendation that the Commission reject.
New reliability standards for approval	Filings pursuant to Section 19(4) of the <a href="#">Transmission Regulation</a> for new reliability standards, agreements, criteria or directives with the independent system operator's recommendation that the Commission approve.
New reliability standards for rejection	Filings pursuant to Section 19(4) of the <a href="#">Transmission Regulation</a> for new reliability standards, agreements, criteria or directives with the independent system operator's recommendation that the Commission reject.
Objections to amendments	Filings by market participants pursuant to Section 19(6) of the <a href="#">Transmission Regulation</a> objecting to amendments, supplements or replacement of existing reliability standards, agreements, criteria or directives.
Objections to new reliability standards	Filings by market participants pursuant to Section 19(6) of the <a href="#">Transmission Regulation</a> objecting to new reliability standards, agreements, criteria or directives.
Objections to removal of reliability standards	Filings by market participants pursuant to Section 19(6) of the <a href="#">Transmission Regulation</a> objecting to the removal of reliability standards, agreements, criteria or directives.
Reliability standard compliance	Filings pursuant to an order of the Commission directing changes to a reliability standard or a provision of a reliability standard.
Removal of reliability standards for approval	Filings pursuant to Section 19(4) of the <a href="#">Transmission Regulation</a> for removal of existing reliability standards, agreements, criteria or directives with the independent system operator's recommendation that the Commission approve.
Removal of reliability standards for rejection	Filings pursuant to Section 19(4) of the <a href="#">Transmission Regulation</a> for removal of existing reliability standards, agreements, criteria or directives with the independent system operator's recommendation that the Commission reject.

## Retail Energy

### Complaints

Type	Description
Complaints and appeals	Complaints or appeals filed under the <a href="#">Municipal Government Act</a> , <a href="#">Distribution Tariff Regulation</a> , <a href="#">Gas Distribution Act</a> or <a href="#">Natural Gas Billing Regulation</a> . This also includes any other complaints which are not related to market oversight.

### Electric retail

Type	Description
Energy charges	Applications with respect to monthly electricity charges.

Type	Description
Interim rates	Applications requesting approval of interim rates prior to final rates being approved. This application type also includes any compliance applications filed in response to the foregoing matters.
Miscellaneous	Applications on any other matter not covered under one of the other application types in the electric retail application category.
Negotiation request	Applications requesting approval to commence negotiations pursuant to <a href="#">Rule 018: Rules on Negotiated Settlements</a> .
Other rates	Applications seeking approval of non-energy related costs and associated rates. This application type also includes any compliance applications filed in response to the foregoing matters.
Rate riders	Applications requesting approval of a special rate rider. This application type also includes any compliance applications filed in response to the foregoing matters.
Terms and conditions of service	Applications requesting approval of terms and conditions of service. This application type also includes any compliance applications filed in response to the foregoing matters.

#### Gas retail

Type	Description
Energy charges	Applications with respect to monthly gas charges.
Interim rates	Applications requesting approval of interim rates prior to final rates being approved. This application type also includes any compliance applications filed in response to the foregoing matters.
Miscellaneous	Applications on any other matter not covered under one of the other application types in the gas retail application category.
Negotiation request	Applications requesting approval to commence negotiations pursuant to <a href="#">Rule 018: Rules on Negotiated Settlements</a> .
Other rates	Applications seeking approval of non-energy related costs and associated rates. This application type also includes any compliance applications filed in response to the foregoing matters.
Rate riders	Applications requesting approval of a special rate rider. This application type also includes any compliance applications filed in response to the foregoing matters.
Terms and conditions of service	Applications requesting approval of terms and conditions of service. This application type also includes any compliance applications filed in response to the foregoing matters.

#### Share transfer

##### Prohibited share transaction

Type	Description
Sell or transfer of capital stock	Applications requesting approval to sell or transfer capital stock to a corporation under Section 102 of the <a href="#">Public Utilities Act</a> or Section 27 of the <a href="#">Gas Utilities Act</a> .

#### Utility supply agreements

##### Municipal Government Act

Type	Description
Supply agreement	Applications seeking approval of proposed agreements for the supply of: water, steam or fuel by a council to a public utility; or electric power by a council or a municipal public utility, under Section 30 of the <a href="#">Municipal Government Act</a> .



## Water

Type	Description
General rate application	Requests for revenue requirement approval (phase 1) or cost allocations\rates (phase 2). Could include interim rates, rate riders, terms and conditions of service if applicant prefers to include here rather than separate. Includes compliance applications. Excludes <a href="#">Rule 011: Rate Application Process for Water Utilities</a> .
Miscellaneous	Applications associated with interim rate requests, rate riders, terms and conditions, requests to negotiate or any other matter related to water utilities that is not covered under one of the other application types in the water application category.
Rule 011: Rate Application Process for Water Utilities	Applications by small investor-owned water utilities to establish rates as outlined in Rule 011: <i>Rate Application Process for Water Utilities</i> .

## Add an application

To add an application to a proceeding, select **Applications** in the left navigation menu and click **Add application** on the Applications page.

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**Proceeding 20017**

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**Applications**

Add application

Application	Actions	Application status	Application category
20017-A001	①	Draft	Transmission lines and substations

## Choose the application type

Select the application type and click **Select** to open the main application form.  
(Use the functional group and/or category filters to narrow the application search. You can also enter text to search directly.)

**Choose application type**

Filter application types


Filter by application functional groups

Filter by application categories

Filter for this text in any of the fields

Select	Functional group	Application category	Application type	Application description
<input type="button" value="Select"/>	Electric facilities	Transmission lines and substations	Substation	Applications for a part of a transmission line that is not a transmission circuit and includes equipment for transforming, compensating, switching, rectifying or inverting electric energy flowing to, over or from the transmission line.
<input type="button" value="Select"/>	Electric facilities	Transmission lines and substations	Transmission enquiry proposal	Proposals for minor alterations to existing electric transmission facilities.
<input type="button" value="Select"/>	Electric facilities	Transmission lines and substations	Transmission interconnection	Applications by owners or operators of a transmission line or substation for the connection of its works with other works or proposed works.
<input type="button" value="Select"/>	Electric facilities	Transmission lines and substations	Transmission line	Applications for a system of lines of wire or other conductors whereby electric energy is transmitted in bulk (transmission circuits, insulating and supporting structures, operational and control devices and all property).
<input type="button" value="Select"/>	Electric facilities	Transmission lines and substations	Transmission ownership change	Applications for approval to transfer or change the ownership of electric transmission assets pursuant to Section 19 of the Hydro and Electric Energy Act.
<input type="button" value="Select"/>	Electric facilities	Transmission lines and substations	Transmission stipulation	A request for approval of a time extension for the completion of construction, alteration or connection of an electric transmission line or substation under Section 19 of the Hydro and Electric Energy Act.

## Add general application information

 **Alberta Utilities Commission**

**Alberta Utilities Commission**

**General information**

**Creation date** November 05, 2014 **Status** Draft **Application number**

The applicant certifies that the information provided here and in all supporting documentation is correct and in accordance with all regulatory requirements or as directed by the Alberta Utilities Commission.

**Functional group\***

**Application category\***

**Application type\***

**Application type description** Applications for a system of lines of wire or other conductors whereby electric energy is transmitted in bulk (transmission circuits, insulating and supporting structures, operational and control devices and all property).

**Application description \***

**Description for notice of application**

**Legislation**  <http://www.qp.alberta.ca/574.cfm?page>

**Legislation section**

☒ Insert legislation

**AUC rule**  <http://www.auc.ab.ca/acts-regulations>

☒ Insert rule

**Applicant's reference number**

Field	Description
	The application functional group, category and type selected are shown first.
Application description (Required)	As applicant, enter a description of what the application is for. An example is : "Transmission line 7L123 upgrade project to provide service to an industrial complex – Application A or Interim TFO Tariff for May 2014." (100 character length maximum).

Field	Description
Legislation and AUC Rule	<p>From the drop-down list select the legislation and the AUC Rule that you are applying under. This will be used in the filing announcement.</p> <div> <div> Legislation AR 86/2007 Transmission Regulation <a href="http://www.qp.alberta.ca/574.cfm?page">http://www.qp.alberta.ca/574.cfm?page</a> </div> <div> Legislation section Oak_org enters information on legislation section related to the selection of Transmission regulation. </div> <div> <input checked="" type="checkbox"/> Insert legislation </div> <div> <input checked="" type="checkbox"/> AUC rule Rule 007 Rules Respecting Applications for Power Plants, Substations, Transmission Lines, and Industrial System Designations <a href="http://www.auc.ab.ca/acts-regulations">http://www.auc.ab.ca/acts-regulations</a> </div> <div> <input checked="" type="checkbox"/> Insert rule </div> </div> <p>Click here to change/remove legislation or Rule.</p> <p>Click here to view the legislation or Rule.</p> <p> Rule 001 Rules of Practice  Rule 002 Service Quality and Reliability Performance Monitoring and Reporting for Owners of Electric Distribution Systems and for  Rule 003 Service Quality and Reliability Performance Monitoring and Reporting for Regulated Rate Providers and Default Supply F  Rule 004 Alberta Tariff Billing Code  Rule 005 Annual Reporting Requirements of Financial and Operational Results  Rule 006 Rules on Regulatory Audits  Rule 007 Rules Respecting Applications for Power Plants, Substations, Transmission Lines, and Industrial System Designations  Rule 008 Rules Respecting Use of Abbreviated Needs Process  Rule 009 Rules on Local Intervener Costs  Rule 010 Rules on Standards for Requesting and Exchanging Site-Specific Historic Usage Information for Retail Electricity and Nat  Rule 011 Rate Application Process for Water Utilities </p>
Applicant's reference number	Enter your own file reference number (32 character length).

## Error checking

Application forms must be correctly completed. If errors are found, the following error message is shown at the bottom of the form:

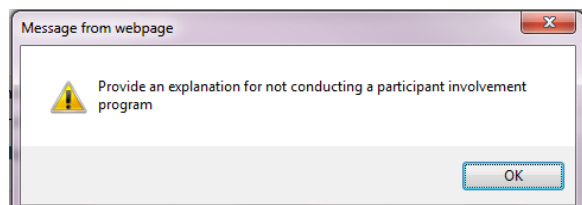
InfoPath cannot submit the form because it contains errors. Errors are marked with either a red asterisk (required fields) or a red dashed border (invalid values). Use Ctrl+Shift+O to go to the next error. Use Ctrl+Shift+I to view error details.

Ctrl + Shift + O (alphabet o as in oscar) moves you to the error.

1. Have you conducted a participant involvement program?
☐ Yes
☒ No

If you answer no, please explain:

Ctrl + Shift + I (alphabet i as in index) describes the error.



Click **Save & close form** to save the application.

Your application is created and the application number is shown on the Applications page. You can now upload documents for your application (see [Add application documents](#)).

## View and edit applications

As an applicant, co-applicant or representative for an applicant, you can update applications at any time while the proceeding is in draft form; before it is registered in eFiling.

This includes

- changing the document category and type,
- modifying the document description,

- removing or adding an association to an application, and
- updating or deleting supporting documents.

Before an application is registered, only the proceeding applicants and their representatives can view and update proceeding and application information.

Once an application is registered as part of a proceeding:

- the application can no longer be edited but new supporting documents can be added.
- proceeding information and supporting documents can be searched and viewed by all users with an eFiling System account.
- the proceeding is open to the registration of interested parties who can then make [filings](#).

After an application is registered and before a final decision is issued, only AUC staff assigned to the proceeding can update the correct misclassified documents or update document descriptions that may be insufficient or require correction.

Applications can be accessed on the Proceeding home or the Applications page.

### Proceeding home page

### Applications page

Select the application to edit in the Application Details page and click **Edit application form**.

Make changes and click **Save & close form**.

4. Provide the legal description of the substation location:

Legal subdivision	Section*	Township*	Range*	Meridian*
1	36	126	30	5

5. Will you attach a noise impact assessment, as per Rule 012: *Noise Control*?\* ☒ Yes ☐ No

6. Will you attach a noise impact assessment summary form, as per Rule 012: *Noise Control*?\* ☒ Yes ☐ No

If you answer no, please explain:

Save & close form Cancel

## Clone an application

It is useful to clone an application when a series of applications with similar information are to be submitted to the AUC as a single proceeding.

To clone an application, click the action icon  beside the application on the main Applications page.

Proceeding 20017

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### Applications

Add application

Application	Actions	Application status	Application category
20017-A001			
20017-A002			

Please click an action

CLONE APPLICATION

Make required changes and then click **Save & close form**. A new application number is assigned.

Proceeding 20017

Proceeding home
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### Applications

Add application

Application	Actions	Application status	Application category	Application type
20017-A001		Draft	Transmission lines and substations	Substation
20017-A002		Draft	Transmission lines and substations	Transmission line
20017-A003		Draft	Transmission lines and substations	Transmission line

## Delete an application

While a proceeding is in draft form applicants, co-applicants or representatives can delete an application. Once an application for a proceeding is registered, it cannot be deleted.

All application information is deleted including

- applicant information,
- documents unique to the application,
- any relationship to other supporting documents, and
- Rule 007 forms (if applicable).

To delete an application, select **Delete application** on the Application details page.

The screenshot shows the 'Application details' page. On the left is a sidebar with a 'Proceeding 20017' section containing links for 'Proceeding home', 'Applicants', 'Applications', 'Dispositions', 'Documents', 'Filings', 'Notifications', and 'Registered parties'. The main content area has a header with 'Edit application form', 'Upload Document', and 'Register proceeding' buttons. Below this is a table with application details: Application number (20017-4003), Status (Draft), Created on (2014/11/05), Application category (Transmission lines and substations), Location (11-12-13-14W4, 12-13-14-15W5), Application type (Transmission line), Applicant ref. no. (Oak003), Electric facility ID (Tran002), and Application description (Transmission line 7LL23 upgrade project to provide service to an industrial complex - Application A or Interim TFO tariff for May 2014). A green button labeled 'Delete application' is circled in the top right corner.

## Application documents

Documents can be uploaded at any time by an applicant, co-applicant or representative

- while the proceeding is in draft form (before it is registered), and
- after it is registered and before the final decision is issued.

Documents can be associated to one or many applications in the same proceeding.

All application documents must be one of the following document format types:


- Adobe: PDF (It is important that PDF files be in searchable format <sup>\*</sup>)
- Microsoft Office: DOC/X, XLS/X, PPT/X, VSD/X, MSG
- Images: JPG, JPEG, PNG and GIF

**The maximum file size is 20 MB per file.**

<sup>\*</sup>It is important that scanned documents be in a searchable form; a scanned page is an image and cannot be searched for specific words. Optical character recognition (OCR) converts the contents of a file to a searchable format to provide accurate output in the eFiling System search results.

Most printers have a simple scanning option to run OCR on documents. If the OCR option is not available on your printer you should use Adobe Acrobat to scan the document. Instructions on how to use Adobe Acrobat to scan documents are available in [Appendix 1: Scanned documents](#).

The ten most recent documents for a proceeding are listed on the Proceeding home page on the Documents tab under Recent Activity.


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 Alberta Utilities Commission

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Proceeding 20017

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**General information**  
 ID: 20017   Status: Draft   Created: 2014/11/04 02:41 PM   Related proceedings  
 Proceeding description: [Register proceeding](#)  
 Contacts

**Applications**

Application	Application status	Application category	Application type	Location	Electric facility ID	Created date	Applicant ref. no
20017-A001	Draft	Transmission lines and substations	Substation	1-36-126-30W5	Sub001	2014/11/04	Oak001
20017-A002	Draft	Transmission lines and substations	Transmission line	11-12-13-14W4, 12-13-14-15W5	Tran001	2014/11/05	Oak002
20017-A003	Draft	Transmission lines and substations	Transmission line	11-12-13-14W4, 12-13-14-15W5	Tran002	2014/11/05	Oak003

**Schedule**  
 Hearings and meetings  
 There are no items to show in this view.  
 Process  
 There are no items to show in this view.

**Recent activity**  
 Filings   **Registered parties**   Documents   Notifications
 

To submit documents, please go to the Filings page to create, upload and then register your filing. Application documents can be uploaded and registered from the details page for an application.

Exhibit number	Document description	Document type	Uploaded &	Reference number
None	Application for A003	Application	2014/11/05	Application
None	Application for A002	Application	2014/11/05	Application
None	Summary for A003	Summary	2014/11/05	Application
None	Alberta infrastructure consent for A002	Alberta Infrastructure consent	2014/11/05	Application
None	Pine test org - Application for substation Nov 4, 2	Application	2014/11/04	Application
None	Pine test org - Drawing for substation Nov. 4, 2	Drawing	2014/11/04	Applications
None	Pine test org - Appendix for substation Nov. 4, 2	Appendix	2014/11/04	Application

## Document types

### Application and support

Document type	Description
Affiliates list	A list of the applicant's affiliates who are pool participants, the agent and agent's affiliates who are pool participants.
Appendix	Supplementary material in support of the application usually of an explanatory, statistical or bibliographic nature.
Application	Information required by an AUC rule for an application (or if no rule exists, a description of the approval, order or relief applied for, grounds on which the application is made, and references to the statutory provision under which the application is made).
Application form	Applicant general information form and other forms related to AUC rules (use for <a href="#">Rule 020: Utility Pipeline Consultation</a> applications).
Comparison of independent system operator documents	A comparison of the Alberta reliability standard to the North American Electric Reliability Corporation (NERC) reliability standard.
Complaint	Written complaints about the conduct of the independent system operator or Market Surveillance Administrator or other letters of discontent expressing resentment or faultfinding pertaining to utilities.
Correspondence	Letters or other records of communication between parties.
Curriculum vitae	A synopsis of one's education, experience and professional qualifications.
Draft independent system operator rule	A copy of the draft independent system operator rule for proposed new rules, amendments to existing rules or removal of existing independent system operator rules.
Draft standard	A copy of the draft reliability standard for proposed new standards, amendments to existing standards or removal of existing standards.
Graph	A line chart, plot, chart or diagram depicting the relationship between two or more variables.

Document type	Description
Initiative document	Documentation describing a proceeding, inquiry or some other sort of initiative started by the AUC.
Notice of dispute	Pursuant to section 2(2) of the <a href="#">Micro-Generation Regulation</a> , a notice of dispute over costs.
Schedule	A written statement of details, often classified in tabular form that is an explanatory addition to another document. A schedule is usually submitted to support financial information contained in an application.
Study	Reports containing research or detailed examination of a subject. Examples include depreciation studies or cost of service studies.
Summary	A document that contains previously stated facts or statements in a comprehensive yet brief and concise manner. Examples include cost summaries, independent system operator rule summaries, issue summaries and comment summaries.

## Authorization

Document type	Description
ISO direction letter	Letter by the independent system operator (ISO) directing a transmission facility owner to submit an application to the AUC to meet an identified need.
Agreement	Documents signed by two or more persons containing terms which will govern the signatories. Examples include franchise agreements, crossing agreements, rural electrification association agreements or sharing of records agreements.
Alberta Infrastructure consent	Ministerial consent from Alberta Infrastructure for activities by the applicant that cause a surface disturbance in the Calgary and Edmonton transportation and utility corridors.
Alberta Transportation approval	An approval issued by Alberta Transportation for structures located within proximity of a numbered highway or intersection.
Building permit	A permit issued by the municipality for approval of construction plans.
Connection consent	A written statement from the distribution facility owner indicating that it is willing to connect.
Contract	A binding agreement that is initialed or signed between two or more parties for the action specified in the contract.
Development permit	Confirmation that the applicant has submitted an application for a development permit from the appropriate municipal district or county.
Municipal by-law	A municipal by-law pursuant to the <a href="#">Municipal Government Act</a> with respect to an agreement between a utility and municipality.
Navigation Canada evaluation	Copy of evaluation(s) from Navigation Canada for wind turbine blades.
Transport Canada approval	Copy of approval(s) issued by Transport Canada for wind turbines.

## Consultation

Document type	Description
Mailing list	A list of addresses for all owners, occupants and residents on lands within the project area as well as other interested parties contacted as a result of a participant involvement program.
Non-objection confirmation	Documents confirming: (a) no objections to a proposed gas utility pipeline development such as free-hold lease agreements or crown dispositions; (b) non-objections to proposed standards or draft rules; and (c) resolution of concerns or objections to facility applications.
Notice	A document that notifies potentially affected parties about the filing of an application, outlines the nature of the application and solicits objections or support for the application from interested parties.



Document type	Description
Notification program	Details of participant involvement programs or a statement that the applicant has conducted the public notification and involvement program as detailed in AUC rules and that there are no public objections and/or concerns.
Objection	A record and explanation of any concerns or objections received and documentation confirming the resolution of any concerns or objections.
Open house documentation	Notices, announcements, media communications, invitations, event details, attendees and reports respecting open houses.

## Design

Document type	Description
Air photo mosaics	An aerial representation of a proposed transmission line route(s) showing the residences, landowner names, and major land-use and resource features.
Diagram	A figure usually consisting of a line drawing that outlines and explains the parts or operations of a facility. Examples include electric single line diagrams, interconnection point diagrams or process flow diagrams.
Drawing	A graphical representation in the form of a sketch, plan or design. Examples include construction drawings of pipeline routes or plant site drawings.
Map	A symbolic visual representation of the features of an area. Examples include base plan maps, project area boundary maps, distribution area maps, franchise maps and route maps.
Plan	A drawing made to scale to represent the top view of a structure or area. Examples include a plot plan or site plan.

## Technical

Document type	Description
Environmental	Documents for assessment of the possible effects that a proposed project may have on the environment. Examples include environmental impact assessments, studies, conservation and reclamation plans, and air emissions modeling.
Functional specification	Documents that describe the essential technical requirements for materials or services including procedures provided by the independent system operator.
Pipeline other	Supporting documents for a gas utility pipeline application. Examples include corrosion mitigation and monitoring plans and leak detection procedures.
Noise	Documents for assessment of the possible noise effects of a facility on its environment. Examples include noise impact assessments and forms (as per the requirements set out in <a href="#">Rule 012: Noise Control</a> ).
Short circuit calculations	Short circuit levels at substations near the proposed power plant connection.
Supply transmission service	Amount of supply transmission service that the applicant would contract for with the independent system operator for the proposed generator.
System performance studies	Documents detailing results of studies on system performance such as load flow, stability, reactive and dynamic studies.

## Add application documents

Application documents are uploaded on the Applications details page. Select the application on the Applications page.

Proceeding 20017

Proceeding home
Applicants
Applications
Dispositions

Add application

Application	Actions	Application status	Application category	Application type
20017-A001	ⓘ	Draft	Transmission lines and substations	Substation

On the Application details page, select **Upload document**. This button is only shown if you are the applicant, co-applicant or representative with permission to add documents to the proceeding.

Proceeding 20017

Proceeding home
Applicants
Applications
Dispositions
Documents
Filings
Notifications
Registered parties
Schedule

Edit application form
Upload Document

Application number: 20017-A001
Status: Draft
Created:


Application category: Transmission lines and substations
Application type: Substation
Location: 1-36-126-30W5
Applicant ref. no: AR#001

Application description:
Sample substation application

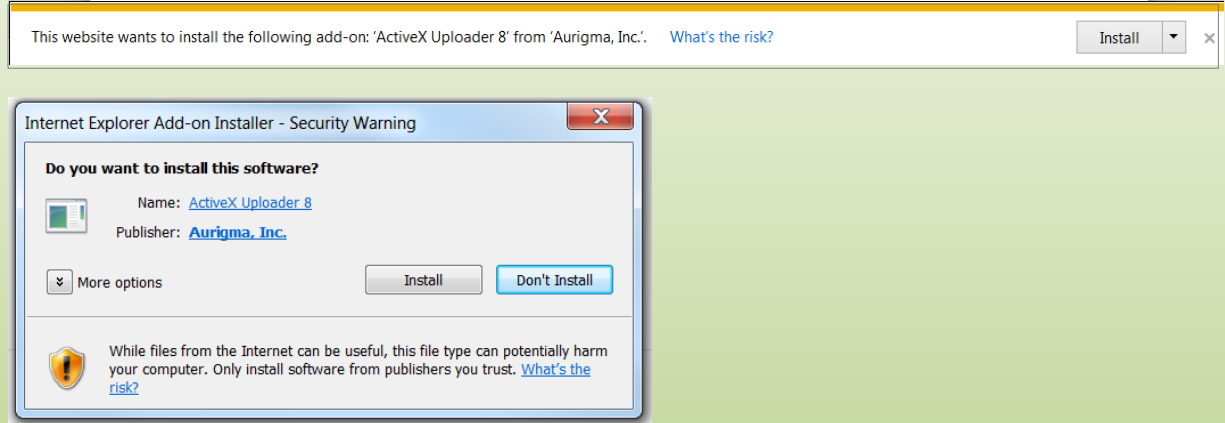
Applicants
Application documents
Related filings
Issued dispositions

Applicant name	Applicant type	Primary contact
Oak Test Org	Primary applicant	OakUser1Adm Oak_org
Pine Test Org	Co-applicant	PineUser1 Pine_org

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**AUC**  
 Alberta Utilities Commission

The first time you upload files, depending on the browser version you are using, you may be prompted to install the Aurigma ActiveX Uploader control required to upload files in the eFiling System.



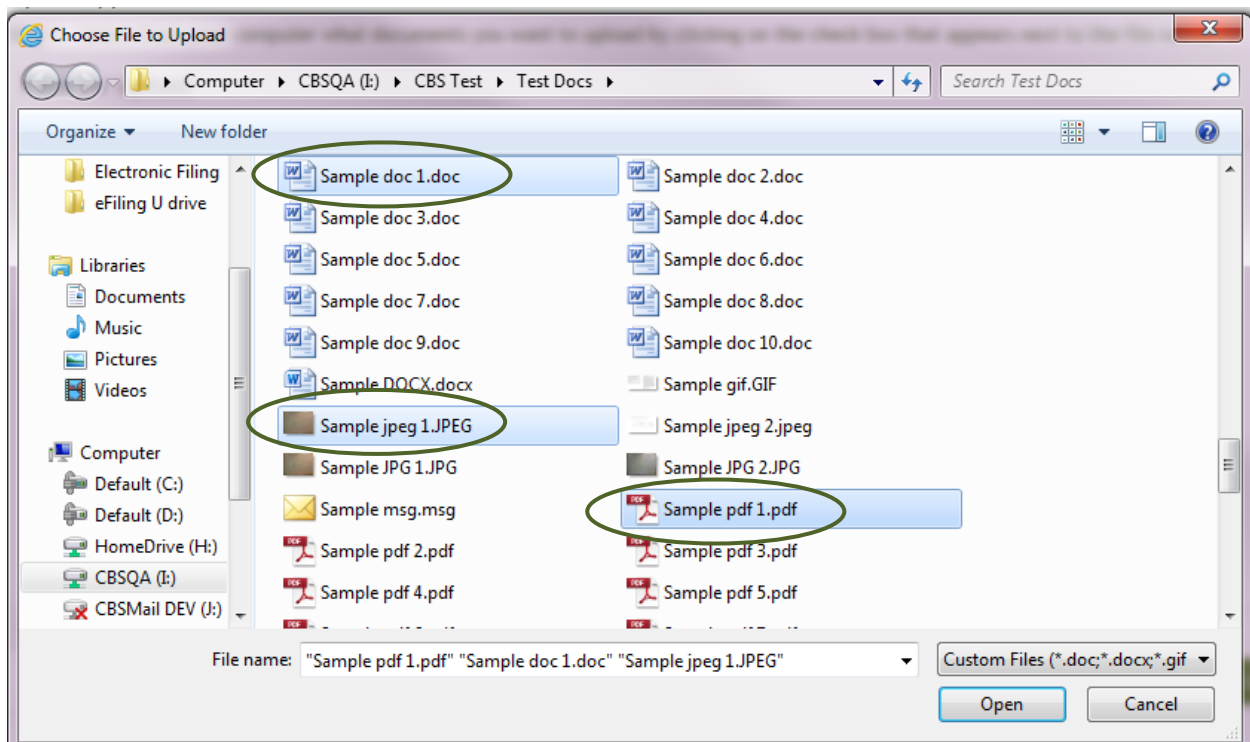
If you have any permission issues installing the control, contact your system administrator.

Before you can upload any files you must first agree to the AUC [privacy policy](#).

Uploading documents for the proceeding is a two-step procedure.

### Step 1: Select the files to upload

Navigate to the file directory. Depending on the browser version you are using you will either click on the file name (use the Ctrl key to select multiple files) or hover over the file name and click the checkbox that appears to the left of the file name.



## Step 2 – Set document type, applications and description for each file

Upload application document(s)

Return to step 1 - Add more files

Step 2 - Set document types, applications and descriptions for each file

Please note that mandatory fields are identified with a red asterisk, descriptions have a limit of 50 characters

☐ All documents apply to all my applications in this proceeding

☐ Set the default descriptions for all of these files to their filename (excluding the file extension, e.g. .docx)

File Name	Document Type	Applications	Description	Remove
Sample doc 1.doc	<a href="#">Appendix</a>	<a href="#">20017-A001</a>	Pine test org - Appendix for substation Nov. 4, 2014 *	<a href="#">Remove</a>
Sample jpeg 1.JPG	<a href="#">Drawing</a>	<a href="#">20017-A001</a>	Pine test org - Drawing for substation Nov. 4, 2014 *	<a href="#">Remove</a>
Sample pdf 1.pdf	<a href="#">Application</a>	<a href="#">20017-A001</a>	Pine test org - Application for substation Nov 4, 201 *	<a href="#">Remove</a>

Note that filenames for documents will be changed when they are uploaded to fit the standardized naming scheme. The original name will be preserved.

Upload document(s)

Cancel

Select

☐ All documents apply to all my applications in this proceeding if the selected documents will be applied to all applications in the proceeding.

Select

☐ Set the default descriptions for all of these files to their filename (excluding the file extension, e.g. .docx) if you would like to populate the description field for all files with the file name.

For each document, you must select the type of document. Use the filter fields to narrow the list of types shown.

Choose Document Type

Filter Document Types

Filter Document Categories

All

Filter by Description

Apply

Select	Document Type	Document Category	Document Type Description
<div>Select</div>	Affiliates List	Application and Support	A list of the applicant's affiliates who are pool participants, the agent and agent's affiliates who are pool participants.
<div>Select</div>	Appendix	Application and Support	Supplementary material in support of the application usually of an explanatory, statistical or bibliographic nature.
<div>Select</div>	Application	Application and Support	Information required by an AUC rule for an application or if no Rule exists, a description of the approval, order or relief applied for, grounds on which the application is made, and references to the statutory provision under which the application is made.
<div>Select</div>	Application Form	Application and Support	

Enter a description of the file that will stand the test of time; for example, *"Pine test org – Appendix for substation, Nov. 4, 2014"*.

Click **Upload document(s)** at the end of Step 2 to load the documents to the eFiling System. (This button is only active when all required upload information has been entered.)

## View and edit application documents

Prior to registration, as an applicant you can add additional documents, delete a document, change the application that a document is associated to and, change the document type and description.

Select the document(s) to modify either on:

- the Application documents tab of the Application detail page

Applicants	Application documents	Related filings	Issued dispositions
File name	Actions	Exhibit Number	Document Type
Sample doc 1_0001.doc Description: Pine test org - Appendix for substation Nov. 4, 2014			Appendix
Sample jpeg 1_0002.JPEG Description: Pine test org - Drawing for substation Nov. 4, 2014			Drawing
Sample pdf 1_0003.pdf Description: Pine test org - Application for substation Nov 4, 2014			Application

- or the main Documents page.

### Proceeding 20017

- Proceeding home
- Applicants
- Applications
- Dispositions
- Documents**
- Filings
- Notifications
- Registered parties

### Documents

**Zip & download**

To submit documents, please go to the Filings page to create, upload and then

**Filter criteria**

Document type:  Exhibit number:

<input type="checkbox"/> All	Exhibit number	Document description
<input type="checkbox"/>	None	Application for A003
<input type="checkbox"/>	None	Application for A002

Click the action icon beside the document you want to modify.

### Applicants

### Application documents

### Related filings

File name	Actions	Document Type
Sample doc 1_0001.doc Description: Pine test org - Appendix for substation Nov. 4, 2014		Appendix
Sample jpeg 1_0002.JPEG Description: Pine test org - Drawing for substation Nov. 4, 2014		Drawing
Sample pdf 1_0003.pdf Description: Pine test org - Application for substation Nov 4, 2014		Application

Please click an action

- DELETE
- CHANGE APPLICATION ASSOCIATION
- CHANGE DOCUMENT TYPE
- CHANGE DESCRIPTION
- VIEW DOCUMENT PROPERTIES

## Change application association

Select CHANGE APPLICATION ASSOCIATION in the Actions pop-up box. On the Choose application(s) page, select or clear the checkboxes next to the applications to associate the document to.

### Choose application(s)

<input type="checkbox"/> All	Application Number	Application Category	Application Type	Application Location	Elec. Facility	Applicant Request
<input checked="" type="checkbox"/>	20017-A001	Transmission lines and substations	Substation	1-36-126-30W5	Sub001	Sample substation application
<input type="checkbox"/>	20017-A002	Transmission lines and substations	Transmission line	11-12-13-14W4, 12-13-14-15W5	Tran001	Transmission line 7L123 upgrade project to provide se Application A or Interim TFO tariff for May 2014
<input type="checkbox"/>	20017-A003	Transmission lines and substations	Transmission line	11-12-13-14W4, 12-13-14-15W5	Tran002	Transmission line 7L123 upgrade project to provide se Application A or Interim TFO tariff for May 2014

**Save** **Cancel**

## Change document type

Select CHANGE DOCUMENT TYPE in the Actions pop-up box. On the Choose document type page, select the new document type.

**Choose document type**

Filter Document Types

Filter Document Categories: All

Filter by Description:

Select	Document Type	Document Category	Document Type Description
<input type="button" value="Select"/>	Affiliates list	Application and support	A list of the applicant's affiliates who are pool participants, the agent and agent's affiliates w
<input type="button" value="Select"/>	Appendix	Application and support	Supplementary material in support of the application usually of an explanatory, statistical or

## Add or remove documents

After a proceeding is registered an applicant, co-applicant or representative can [upload new documents](#) and attach them to an application.

To remove (void or withdraw) a document or replace a document for applications or filings, contact the AUC.

Proceeding 20020

**Proceeding home**

Applicants

Applications

Dispositions

Documents

Filings

**General information**

ID: 20020 Status: Active Registered: 2014/11/05 Related proceedings

Proceeding description: Application for a power plant for the purpose of providing example to the user guide.

**Contacts**

Name	Phone	Email	Contact type
eFiling LAO_1_Facilities	403-555-1212	efiling.lao_1_facilities@auc.ab.ca	Lead application officer
eFiling LAO_1_Law	403-555-1212	efiling.lao_1_law@auc.ab.ca	Legal counsel

The AUC contact for a proceeding is shown on the Proceeding home page.

## Download documents

As an applicant, co-applicant or representative, you can zip documents to a folder that can be downloaded to your computer. You can then work with this information when you are not connected to the eFiling System. Documents can be downloaded both while a proceeding is in draft form and after it is registered.

Documents for a restricted proceeding are not listed and cannot be selected for download. Please submit a request to the AUC at [info@auc.ab.ca](mailto:info@auc.ab.ca) to zip any restricted documents.

## To download documents

On the Documents page, select the files to download by checking the box to the left of the file name.

Proceeding 20020

**Documents**

To submit documents, please go to the Filings page to create, upload and then register your filing. Application documents can be uploaded and registered from the details page for an application.

**Filter criteria**

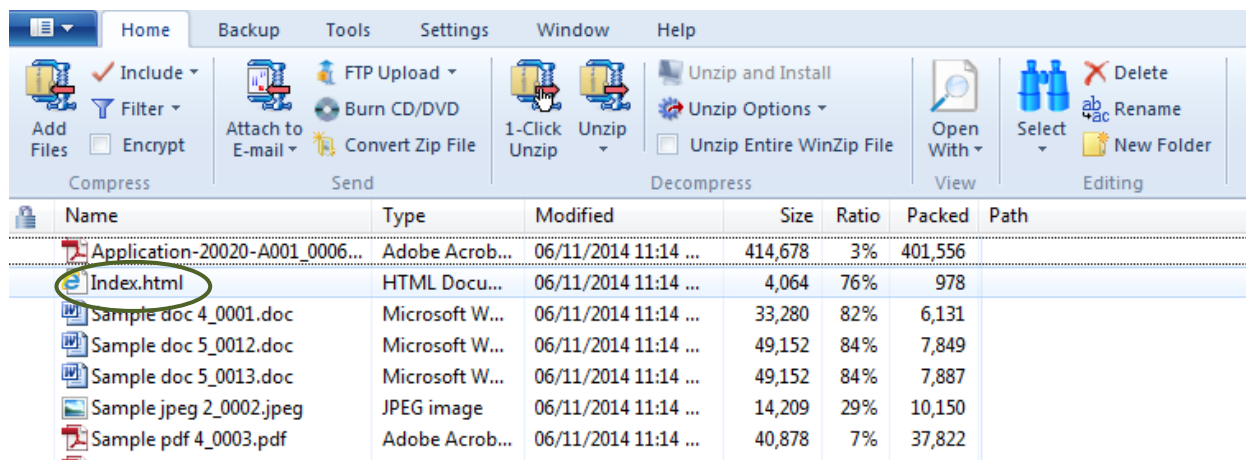
Document type: All Registered party: All Exhibit number:

<input type="checkbox"/>	Exhibit number	Document description	Document type	Registered par
<input type="checkbox"/>	20020-X0014	Elm Group argument PDF for power plant	Argument	Elm Group

Click **Zip & download**. You are prompted to open or save the .zip file in a dialogue at the bottom of the page. You can:

- **open** the zip file – Proceeding index,
- **save** the index in the download folder,
- **save as** to a different location and/or with a different name, or
- **save** in the download folder and open the index.

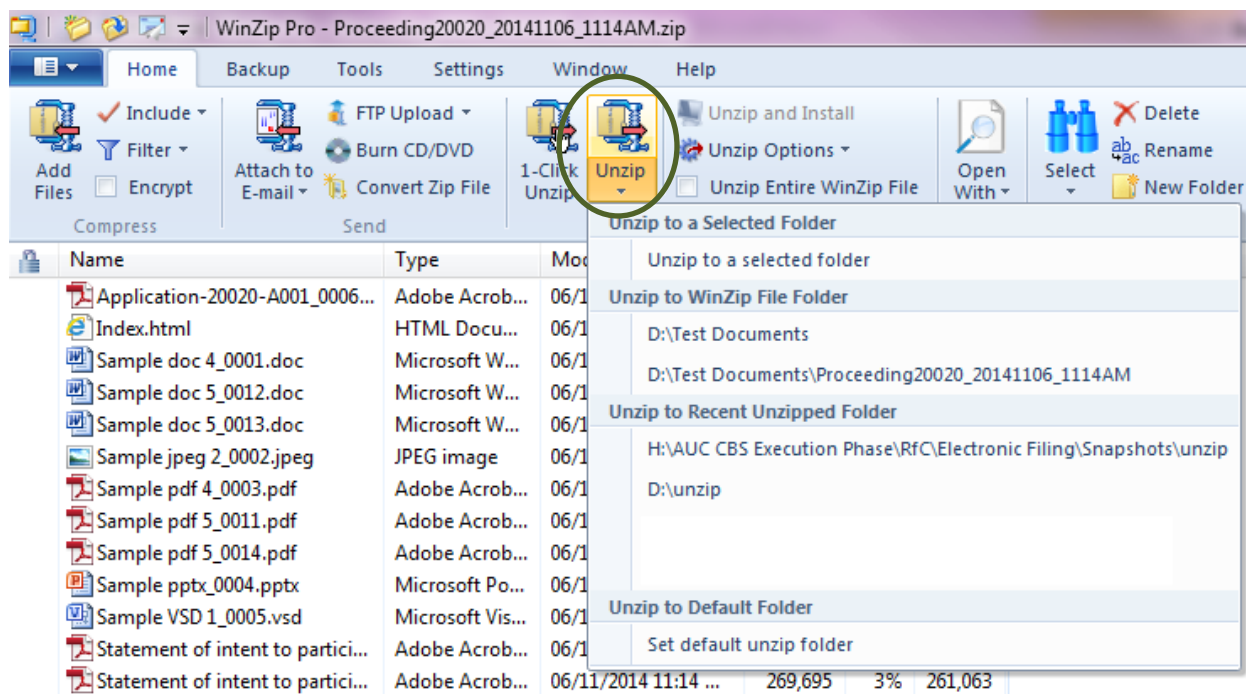
Do you want to open or save **Proceeding20020\_20141106\_1114AM.zip** (1.38 MB) from 4sp1?



The index.html file lists the files that have been zipped and downloaded and provides hyperlinks to each document with information such as exhibit number, registered party, and document description for each file. The zip file name is the proceeding number and date/time the zip file was created in the format of #####\_YYYYMMDD\_HHMMAM/PM.

ProceedingID: 20020						
Description: Application for a power plant for the purpose of providing example to the user guide.						
File name	Exhibit number	Document description	Document type	Registered party	Uploaded	Reference number(s)
<a href="#">Sample.pdf 5_0014.pdf</a>	20020-X0014	Elm Group argument PDF for power plant	Argument	Elm Group	2014/11/05 01:11 PM	20020-F0005
<a href="#">Sample.doc 5_0013.doc</a>	20020-X0013	Elm Group argument document for power plant	Argument	Elm Group	2014/11/05 01:10 PM	20020-F0005
<a href="#">Sample.doc 5_0012.doc</a>	20020-X0012	Argument by Elm group	Argument	Elm Group	2014/11/05 11:53 AM	20020-F0005
<a href="#">Sample.pdf 5_0011.pdf</a>	20020-X0011	Correspondence to External parties by LarchUser	Correspondence - external	LarchUser Larch_indiv	2014/11/05 11:51 AM	20020-F0004
<a href="#">Statement of intent to participate-20020-F0003.pdf</a>	20020-X0010	Generated PDF	Statement of intent to participate	Elm Group	2014/11/05 11:29 AM	20020-F0003
<a href="#">Statement of intent to participate-20020-F0002.pdf</a>	20020-X0009	Generated PDF	Statement of intent to participate	LarchUser Larch_indiv	2014/11/05 11:15 AM	20020-F0002
<a href="#">Statement of intent to participate-20020-F0001.pdf</a>	20020-X0007	Generated PDF	Statement of intent to participate	Test Group	2014/11/05 11:09 AM	20020-F0001
<a href="#">Application-20020-A001_0006.pdf</a>	20020-X0006	Generated PDF	Application form	Oak Test Org	2014/11/05 10:23 AM	20020-A001
<a href="#">Sample.VSD 1_0005.vsd</a>	20020-X0005	Plan for Oak power plant	Plan	Oak Test Org	2014/11/05 10:17 AM	20020-A001

Click **Unzip** to load the files to one of the file folder options.



## Related proceedings

Related proceedings are those that have links to the current proceeding; for example, between development Phase 1, Phase 2 and Phase 3 of a transmission line project. The relationship provides a link between the proceedings but each proceeding's information is independent.

Related proceedings must be active (registered in the eFiling System) or completed (the proceeding has been fully dispositioned).

As an applicant, co-applicant or representative, you can add or remove any number of related proceedings while the current proceeding is in draft form. After registration, only AUC staff assigned to the proceeding can relate a proceeding.

### To add a related proceeding

Open the source proceeding and select **Related proceedings** on the Proceeding home page.

Proceeding 20017

Proceeding home  
Applicants  
Applications

General information  
ID: 20017 Status: Draft Created: 2014/11/04 02:41 PM **Related proceedings**

Proceeding description: Proceeding with various facilities applications as a sample test case. [Register proceeding](#)

Click **Select proceeding**.

**Related Proceedings**

There are no items to show in this view.

Related Proceeding ID: [Select Proceeding](#) [Add Related Proceeding](#)

In the [Find](#) search window select the proceeding to relate.

**Find proceedings**

**Filter criteria**

Proceeding ID:  Proceeding description:

Proceeding status:  Proceeding type:

Proceedings registered from:  Proceedings registered to:

Proceeding division:

Restricted proceeding: ☐ Yes ☐ No ☒ Either

Application category:  Application type:

Proceeding participant:

[Find](#) [Export to excel](#) [Reset](#) Total Proceedings found : 1

Select	Proceeding	Proceeding description	Type	Status	Registered date
<a href="#">Select</a>	20020	Application for a power plant for the purpose of providing example to the user guide.	Written	Active	05 November 2014

Click **Add related proceeding** to relate the proceeding.

**Related proceedings**

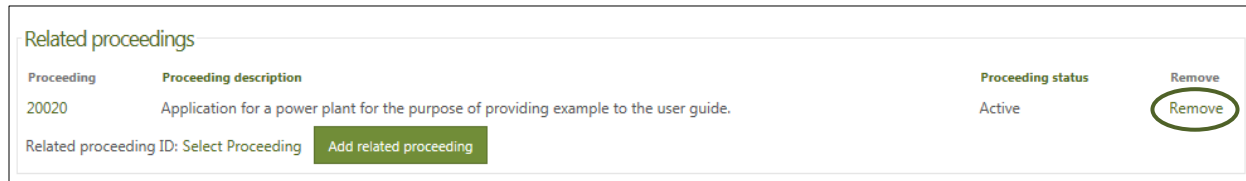
Proceeding	Proceeding description	Proceeding status	Remove
20020	Application for a power plant for the purpose of providing example to the user guide.	Active	<a href="#">Remove</a>

Related proceeding ID: [Select Proceeding](#) [Add related proceeding](#)



## To remove a related proceeding

In the Related proceedings pop-up box, click **Remove** beside the proceeding to delete.



Proceeding	Proceeding description	Proceeding status	Remove
20020	Application for a power plant for the purpose of providing example to the user guide.	Active	Remove

Related proceeding ID: Select Proceeding Add related proceeding

## Restricted proceedings

As legislated in the [Fair, Efficient and Open Competition Regulation](#) that came into effect September 1, 2009, the Markets group accepts commercially-sensitive applications for preferential sharing of records (PSR) by market participants and can limit proceeding access to a restricted set of participants.

By default, the applicant, the market surveillance administrator and the AUC are added as participants to a participant list that identifies the organizations and single users that can register to participate or represent a client in a restricted proceeding.

If a PSR application is selected as the first application, all further applications in the proceeding are also restricted to PSR applications.

If a proceeding is restricted, some documents for the application may be marked as restricted and can only be viewed and edited by registered participants and AUC staff assigned to the proceeding. These documents cannot be selected for download. Please submit a request to the AUC at [info@auc.ab.ca](mailto:info@auc.ab.ca) to zip any restricted documents.

The eFiling System users not on this list can still register to subscribe as an observer to the following public information about a restricted proceeding:

- filing announcement
- notice of application
- decision

## Register a proceeding

The following required information is validated before a proceeding can be registered in the eFiling System:

- proceeding and application description
- primary applicant name
- primary contact
- application description
- application category and type
- Rule 007/Rule 020 forms (if required)

The proceeding number is generated when the proceeding is first requested. All applications for multi-application proceedings are registered at the same time.

Until a proceeding is registered, only the applicants, co-applicants and their representatives can view the draft information. Once applications are registered, all the eFiling System users can search and view the proceeding and its applications.

## To register a proceeding

On the Proceeding home or the Applications page, select **Register proceeding**.

Proceeding 20020

Proceeding home

Applicants

Applications

Dispositions

General information

ID: 20020 Status: Draft Created: 2014/11/05 10:08 AM Related proceedings

Proceeding description: Application for a power plant for the purpose of providing example to the user guide.

Contacts

Register proceeding

Proceeding 20020

Proceeding home

Applicants

Applications

Dispositions

Applications

Add application

Application	Actions	Application status	Application category	Application type	Location	Electric facility ID	Created date	Applicant ref. no
20020-A001	①	Draft	Power generation	Power plant	Multiple	AES001	2014/11/05	

Register proceeding

You are prompted to confirm the registration.

When a proceeding is registered,

- the proceeding status is set to *Active*,

General information

ID: 20020 Status: Active Registered: 2014/11/05 Related proceedings

Proceeding description: Application for a power plant for the purpose of providing example to the user guide.

Contacts

There are no items to show in this view.

- the application status changes to *Registered*,

Applications

Application	Application status	Application category	Application type	Location	Electric facility ID	Registration date
20020-A001	Registered	Power generation	Power plant	Multiple	AES001	2014/11/05

- applicants are assigned to each application in the proceeding,

Applicants


Applicant name	Actions	Applications	Applicant type	Primary contact	Secondary contact
Oak Test Org	①	20020-A001	Primary applicant	OakUser1Adm Oak_org	None

Representatives are shown here until registration. Post-Registration they are shown only in Registered Parties.

- exhibit numbers are assigned to the application documents, and

<input type="checkbox"/> All	Exhibit number	Document description	Document type	Registered party	Uploaded 4	Reference number
<input type="checkbox"/>	20020-X0006	Generated PDF	Application form	Oak Test Org	2014/11/05	Application
<input type="checkbox"/>	20020-X0005	Plan for Oak power plant	Plan	Oak Test Org	2014/11/05	Application
<input type="checkbox"/>	20020-X0004	Summary for Oak power plant	Summary	Oak Test Org	2014/11/05	Application
<input type="checkbox"/>	20020-X0003	Application for Oak power plant	Application	Oak Test Org	2014/11/05	Application
<input type="checkbox"/>	20020-X0002	Air photo mosaics for Oak power plant	Air photo mosaics	Oak Test Org	2014/11/05	Application
<input type="checkbox"/>	20020-X0001	Authorization letter for Oak power plant	Authorization letter	Oak Test Org	2014/11/05	Application

- the application form(s) are converted into PDF format.

 <b>Alberta Utilities Commission</b>			
<b>General information</b>			
Creation date	November 05, 2014	Status	Registered
Application number	20020-A001		
The applicant certifies that the information provided here and in all supporting documentation is correct and in accordance with all regulatory requirements or as directed by the Alberta Utilities Commission.			
<b>Applicant information</b>			
<b>Primary applicant</b>			
Applicant name	Oak Test Org		
Primary contact	OakUser1Adm Oak_org	Secondary contact	
Email	oakuser1@test.ca	Email	
Telephone	(403) 345-2345	Telephone	
Mailing address			
<b>Application</b>			
Functional group	Electric facilities		
Application category	Power generation		
Application type	Power plant		
Application type description	Applications for the construction, operation or alteration of power generation and associated facilities from any energy source including wind or solar.		
<b>Application description</b>			
	Oak_org applying for a power plant.		
Description for notice of application	Power plant application by Oak_org as an example for the user guide.		
Legislation	AR 111/2003 Independent Power and Small Power Regulation		
	<a href="http://www.qp.alberta.ca/574.cfm?page=2003_111.cfm&amp;leg_type=Regs&amp;isbnch=9780779730926">http://www.qp.alberta.ca/574.cfm?page=2003_111.cfm&amp;leg_type=Regs&amp;isbnch=9780779730926</a>		
Legislation section			

## Participate in a proceeding

**Participants** are directly involved in the proceeding and make filings. A statement of intent to participate (SIP) is required.

The types of participants include:

**Representative** - the agent or solicitor representing one or more corporate or individual parties in a proceeding. A representative can act on behalf of an applicant or intervener.

**Intervener** - A person, group, association or company, other than the applicant, participating in a proceeding that has a material interest in the AUC's decision (could be a customer or a group representing customers and may include an AUC-sponsored expert or AUC staff panel). Interventions can be in support of or opposed to the application(s).

**Market participant objector** - A market participant objecting to an ISO rule. The onus is on the market participant to defend their objection.

Other types of registered parties include:

**Court Reporter** - the court reporting company hired to provide a verbatim transcript record of a hearing (a statement of intent to participate is not required and there are limited associated filing types).

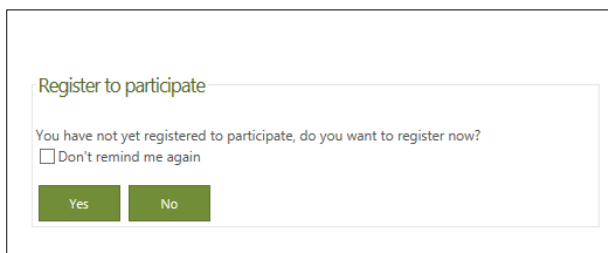
**Observer** – a person or organization that monitors a proceeding in order to receive notifications about updates to the proceeding (observers do not submit proceeding documents).

The AUC supports the forming of groups during the hearing process. Those with similar concerns are encouraged to consolidate and make filings collectively. A representative of the group adds and removes members and makes filings on its behalf.

Applicants and the Commission are automatically considered participants. Only those on the potential participants list can register for a restricted proceeding.

Registration to participate on a proceeding opens when the proceeding is registered.

When you first select to participate in a proceeding where you are not the applicant, you are prompted to confirm that you are registering to participate. This will automatically navigate you to the Registered parties page of the proceeding selected.

A pop-up box titled "Register to participate" with a green header. The text inside says "You have not yet registered to participate, do you want to register now?" followed by a checkbox labeled "Don't remind me again". At the bottom are two green buttons: "Yes" and "No".

Register to participate

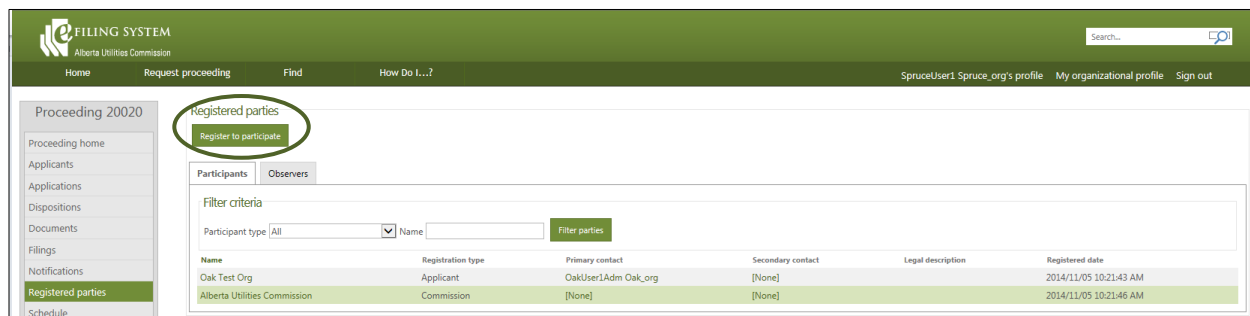
You have not yet registered to participate, do you want to register now?

☐ Don't remind me again

Yes No

## To participate in a proceeding

Select **Registered parties** in the left navigation menu and click **Register to participate**. All users must agree to the AUC [privacy policy](#) available on the AUC website.

A screenshot of the AUC Filing System web interface. The left sidebar shows a navigation menu with "Registered parties" highlighted. The main content area shows the "Registered parties" page for "Proceeding 20020". It includes a "Register to participate" button, tabs for "Participants" and "Observers", and a table of registered parties. The table has columns for Name, Registration type, Primary contact, Secondary contact, Legal description, and Registered date.

Proceeding 20020

Registered parties

Register to participate

Participants Observers


Filter criteria

Participant type: All Name: Filter parties

Name	Registration type	Primary contact	Secondary contact	Legal description	Registered date
Oak Test Org	Applicant	OakUser1Adm Oak_org	[None]		2014/11/05 10:21:43 AM
Alberta Utilities Commission	Commission	[None]	[None]		2014/11/05 10:21:46 AM

### Step 1: Registration Type

In the Participant registration pop-up box, select the participant type.

A pop-up box titled "Step 1: Registration Type" with a green header. It contains a table with two columns: "Participant type" and "Description". Each row has a green "Select" button to the left of the "Participant type" text.

Step 1: Registration Type

I am registering as:

Participant type	Description
Select Observer	You would like to receive notifications about this proceeding, but will not be submitting a filing.
Select Intervener	You intend to submit a filing with the Commission with respect to the application(s).
Select Representative of a party	You are an agent or solicitor for a participant.
Select Representative of a new group	You are an agent or solicitor for a new group.
Select Market participant objector	You object to an independent system operator rule.
Select Court reporter	You are the official court reporter for one or more of the hearings.

## Step 2: Contacts

Primary contact information is automatically entered for single users. Organizations must select a primary contact (and optionally a secondary contact).

## Step 3: Representation

Depending on the registration type you selected you may have to complete a step about representation of another party.

### Representatives of a party

Representatives must select the party to represent from the list of already registered parties, parties not registered, or click **Create single user** to create a new user account for the party that they are representing (see [Create a single user account](#)).

Select a party to represent

Not registered parties | Participants and observers

Search for the party you wish to represent: test org Search

Select	Name	Telephone	Address	Email
Select	Spruce Test Org		200 Spruce Drive	
Select	Pine Test Org		300 Pine Way	
Select	Maple Test Org		400 Maple Avenue	
Select	Poplar Test Org		600 Poplar Street	
Select	Elm Test Org		700 Elm Street	

Cancel

Create single user Cancel

If a primary applicant with a representative is replaced with a new primary applicant, it is assumed that the original representative does not apply to the new applicant and would need to be added as a representative of the new applicant.

### Representatives of a new group

Groups are formed with group members and representatives. All groups must have a unique group name for the proceeding. Enter the name of the group and identify if you are representing a group of applicants only or a group of non-applicants.

**Note:** Any subsequent representative must be added by the representative that first created the group.

## Step 4: Complete the statement of intent to participate

The statement of intent to participate must be completed by interveners, market participant objectors, representatives of parties not already registered, and representatives of new groups.

## Participant registration

Note: Mandatory fields that have not been filled out are identified with red asterisk.

### Step 1: Registration type

I am registering as:

**Representative of a new group**

Registration type description:

You are an agent or solicitor for a new group.

Select registration type

### Step 2: Contacts

My primary contact is:

Spruce User1

My secondary contact is:

N/A

### Step 3: Group name

Enter your group's name:

Test Group

Group type:

☒ Non-Applicants Only Group

☐ Applicants Only Group

### Step 4: Statement of intent to participate

Please describe your interest in this proceeding. Tell us how our decision on the application(s) may affect you, your land, your business, or your activities. Additional information may be added after registering this form.

The group is affected by the project by.....

Briefly describe the issue(s) you would like the Commission to consider when making its decision and in your opinion, whether further process is required.

The group would like to the Commission to consider.....

Do you want to personally participate if a hearing is held on this matter? ☒ Yes ☐ No

Legal land description (if applicable)

LSD	Section	Township	Range	Meridian
				W

I own or occupy land that is within  of the proposed project.

☒ The information in this form is my complete statement of intent to participate

☐ I will submit additional information as part of this statement of intent to participate

The information you provide in this form will be registered as a statement of intent to participate and can be found in Documents

Register to participate

Cancel

An option is provided at the bottom of the form to upload additional documentation. By selecting this option and clicking **Register to participate** the system will take you to the Filings page where you can create an additional statement of intent to participate filing type.

## Register to participate

When complete, click **Register to participate**. A PDF copy of the statement of intent to participate form is registered on the proceeding filings.

Registered participants and applicants are notified of new proceeding participants.

## Change participant role

To change your role in a proceeding, for example if an observer wants to become an intervener, you must create a new registration with the new participant type and complete the statement of intent to participate. The original observer registration is inactivated.

## Participation notification

Notifications of new participants and changes to existing ones are listed on the Notifications page.

The screenshot shows the 'Notifications' page for 'Proceeding 20020'. The left sidebar contains a menu with 'Notifications' highlighted. The main content area shows a message: 'You are currently **subscribed** for the daily notification summary email for this proceeding.' with an 'Edit subscription' button. Below this is a 'Filter criteria' section with a dropdown menu set to 'All' and a text input for 'Notification subject'. There are buttons for 'Filter notifications', 'Export To excel', and 'Reset'. A table lists notifications with columns 'Created', 'Subject', and 'Type'.

Created	Subject	Type
2014/11/05	Information Request & Information Response schedule items added (Title: Request Round 1 by Intervner).	Schedule item created
2014/11/05	Hearing schedule added (Title: Test hearing for Nov. 12, 2014).	Schedule item created
2014/11/05	Argument schedule added (Title: Test argument).	Schedule item created
2014/11/05	20020-F0002: Statement of intent to participate.	Filing registration
2014/11/05	Intervener: LarchUser Larch_indiv: represented by: Elm Test Org registered to participate.	Participant added
2014/11/05	20020-F0001: Statement of intent to participate.	Filing registration
2014/11/05	Group Test Group: represented by: Spruce Test Org registered to participate.	Participant added

Upon registration to participate the contact listed for the registered party is automatically subscribed to receive the daily summary email of notifications for the proceeding. Other eFiling System users for that registered party can subscribe to receive the daily summary email. Click **Edit subscription** to modify your personal settings to receive or unsubscribe from the daily summary email of notifications for the proceeding. Set [proceeding notification options](#) on the Notifications page and use the [global notification option](#) to receive notices of application for all proceedings filed with the AUC.

## Schedules

AUC staff assigned to a proceeding creates and manages a schedule that enables users to make filings and register to participate in the proceeding. This includes schedule items such as information requests and responses, meetings, evidence and undertakings. Select a schedule status to see if the schedule item is not started, in progress, not completed (not started and in progress), and completed.

The screenshot shows the 'Schedule' page for 'Proceeding 20020'. The left sidebar contains a menu with 'Schedule' highlighted. The main content area has a 'Status' dropdown menu. Below this is a table for 'Hearings and meetings' with columns 'Title', 'Type', 'Start date', 'Closing date', and 'Location'. Another table for 'Process' has columns 'Title', 'Type', 'Start date', and 'Closing date'.

Title	Type	Start date	Closing date	Location
Test hearing for Nov. 12, 2014	Hearing	2014/11/12 08:00:00 AM	2014/11/14 02:00:00 PM	Calgary

Title	Type	Start date	Closing date
Participation closing date	Participation closing date	2014/11/05 10:21:52 AM	
Test argument	Argument	2014/11/05 08:00:00 AM	2014/11/07 02:00:00 PM
Request Round 1 by Intervner	Information request	2014/11/05 08:00:00 AM	2014/11/07 02:00:00 PM
Response Round 1 by Applicant	Information response	2014/11/10 08:00:00 AM	2014/11/12 02:00:00 PM

Select a schedule item to view detailed information.

## Schedule types

Type	Description
Application response letter	A letter to the applicant from the AUC outlining the anticipated procedural schedule for the application.
Argument	Deadline date and time for submission of documentation that summarizes the evidence for a party's case, highlights the important aspects of the issues, states what the AUC's decision should be, and gives supporting reasons.
Argument - reply	Deadline date and time for submission of documentation to reply to the parties' final argument.
Cost budget	The deadline date and time for submission of a detailed budget outlining the reasonable fees and disbursements the party anticipates will be incurred in association with a proceeding.
Cost budget - reply	The deadline date for submission of a party's revised budget that outlines the reasonable fees and disbursements the participant anticipates will be incurred in association with a proceeding.
Cost budget - response	The deadline date and time for submission of a party's comments on the cost budgets.
Evidence	Deadline date and time for submission of documentary evidence by involved parties detailing facts to support or refute an application.
Evidence - rebuttal	Deadline date and time for submission of written evidence given in response to new issues raised in evidence.
Evidence - sur-rebuttal	Deadline date and time for submission of written evidence in response to issues raised in rebuttal evidence.
Hearing	Commencement date and end date of the oral hearing session. See the Hearing Announcement for full details.
Information request	The deadline date and time for registered parties to submit information requests to other registered parties.
Information response	The deadline date and time for registered parties to submit information responses to other registered parties.
Meeting - pre-hearing	Date, time and location for discussion of the procedural matters for the hearing including scheduling, issues, positions, costs, use of third-party consultants, or other matters to ensure the hearing is efficient. See Process Announcement for meeting details.
Meeting - information session	Date, time and location of information session about public participation in the hearing process to be given by AUC staff. See Process Announcement for full details.
Meeting - settlement	Date, time and location of a meeting between parties to discuss a negotiated settlement.
Meeting -technical	The date set for a meeting to allow the applicant to explain and discuss its application in an informal and collaborative setting prior to a litigated hearing.
Participation closing date	The deadline date and time for a party to register to participate in a proceeding and submit a statement of intent to participate.
Post disposition documentation	The timeline required to allow any follow-up documentation to be filed by registered parties on a proceeding that has been completed.
Procedural submissions - motion	The deadline date and time for submissions of documents pertaining to a particular issue or matter.
Procedural submissions - reply	The deadline date and time for submissions in reply to a procedural submission - response.
Procedural submissions - response	The deadline date and time for submissions in response to a procedural submission.



Type	Description
Undertakings - request	The deadline date and time for registered parties to submit undertaking requests to other registered parties.
Undertakings - response	The deadline date and time for registered parties to submit undertaking responses to other registered parties.

## Filings

Registered participants in a proceeding can register a filing to the proceeding. They can create, edit and delete draft filings before registration. Filings can be made more than one time; perhaps once as an intervener and another as a representative of a group.

Single users and any staff for an organization that is a registered participant in a proceeding can create filings. Observers and inactive registered participants for a proceeding cannot create filings.

Only the creator of the filing can view their draft filing; once the filing is registered, AUC staff assigned to the proceeding can update the filing information (not the content) and remove (void or withdraw) the filing if required. Once a proceeding is complete, only post disposition document filings that are associated to applicable post disposition schedules can be made.

An observer to a proceeding is not considered a registered participant and can only view and receive notification about registered filings available to the public. This includes the filing announcement, notice of application, and decision.

If a proceeding is restricted only registered parties and assigned AUC staff resources can view and manage the filings.

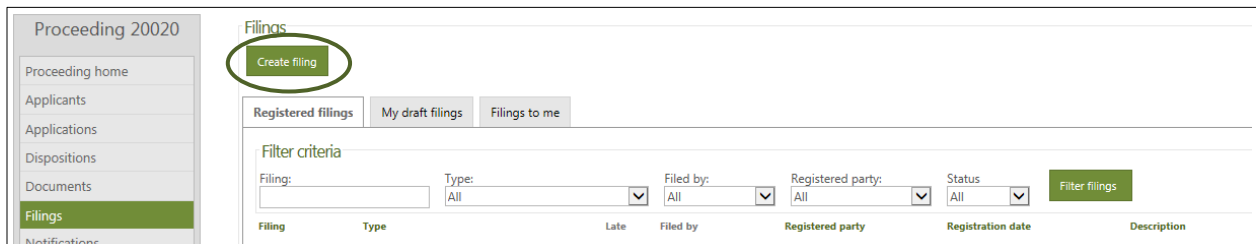
## Filing types

Filing type	Description
Application response letter	A letter to the applicant from the AUC outlining the anticipated procedural schedule for the application.
Argument	Written submissions that summarize the evidence for a party's case, highlights the important aspects of the issues, states what the AUC's decision should be and gives supporting reasons.
Argument - reply	Documentation submitted by parties to reply to the final argument.
Correspondence - AUC to parties	Letters and other correspondence written by the AUC that are directed to the applicant or other parties.
Correspondence - external	Letters, emails and other miscellaneous correspondence written by involved parties regarding the proceeding (if you are requesting an action from the Commission use document type: procedural submission - motion).
Cost budget	The detailed projection of associated reasonable costs and disbursements expected by registered party participating in a proceeding.
Cost Budget - reply	Documents submitted in reply to a cost budget - response.
Cost Budget - response	A document that provides comments on the participant and applicant cost budgets.
Evidence	Documentary evidence submitted by parties detailing facts to support or refute an application. Evidence must be accompanied by a statement setting out qualifications of the person who prepared the evidence or under whose direction the evidence was prepared.

Filing type	Description
Evidence - AUC sponsored	Evidence provided by an expert sponsored by the AUC.
Evidence - rebuttal	Written evidence given in response to new issues raised in evidence.
Evidence - sur-rebuttal	Written evidence from registered parties in response to issues raised in rebuttal evidence.
Filing announcement	Notification of registration of a proceeding with the AUC.
Notice of hearing	Correspondence from the AUC outlining details regarding a hearing or pre-hearing.
Hearing exhibit	Documents that are introduced into evidence in the hearing and have been accepted as evidence on the record (not pre-filed evidence).
Information request	Specific questions for clarification about a party's evidence, documents or other material that is in the possession of the party and relevant to the proceeding.
Information response	Response to each question posed in an information request.
Notice for publication	Concise version of the notices specifically for advertising in newspapers. May include proof of publication.
Notice of amendment	This notice briefly outlines the revisions made to the application(s) and may indicate a new filing deadline for responses from interested parties.
Notice of application	This notice briefly outlines the nature of the application(s) and solicits responses from interested parties by a specified date.
Opening statement	Opening remarks by registered parties upon commencement of the oral hearing.
Post disposition documentation	Follow-up documentation required to be filed by a specific registered party on a proceeding that has been completed. Examples include progress and post construction reports.
Pre-hearing documentation	Correspondence regarding the pre-hearing stage, including participant positions, costs, need for third-party consultants, hearing procedures, time allotment for parties, negotiated settlements, appropriate dispute resolution, technical meetings or information sessions.
Procedural submission - motion	Documents submitted by a party requesting a Commission determination on a procedural matter or issue.
Procedural submission - reply	Documents submitted in reply to a response on a motion.
Procedural submission - response	Documents submitted in response to a motion.
Process announcement	Correspondence from the AUC outlining any aspect of the regulatory process for the proceeding. The announcement can include details regarding a written process or information session.
Reference material	Documents that provide factual and contextual reference for potential use in the preparation of the background and descriptive sections of a Commission report.
Ruling	Determination of the Commission in response to a motion.
Statement of intent to participate	The nature of the party's interest in the proceeding; how the party will be directly or adversely affected by the AUC's decision; the reasons why the AUC should decide in the manner that the party advocates; and business interest rule eligibility.
Transcript	Documents containing a verbatim record of an oral hearing.
Undertaking	Evidence submitted to comply with an undertaking to provide an answer to a question asked during an oral hearing.
Undertaking – request	A question arising from an undertaking.
Undertaking - response	The response to a question asked about an undertaking.

## Create a filing

To create a filing, select **Filings** in the left navigation menu and then select **Create filing** on the Filing details page.



The screenshot shows the 'Filing' page with a left navigation menu. The 'Filings' menu item is highlighted. In the main content area, the 'Create filing' button is circled in green. Below it are tabs for 'Registered filings', 'My draft filings', and 'Filings to me'. A 'Filter criteria' section contains dropdown menus for 'Filing:', 'Type:', 'Filed by:', 'Registered party:', and 'Status:', along with a 'Filter filings' button. A table below shows a list of filings with columns: Filing, Type, Late, Filed by, Registered party, Registration date, and Description.

### Step 1: Select the party for the filing

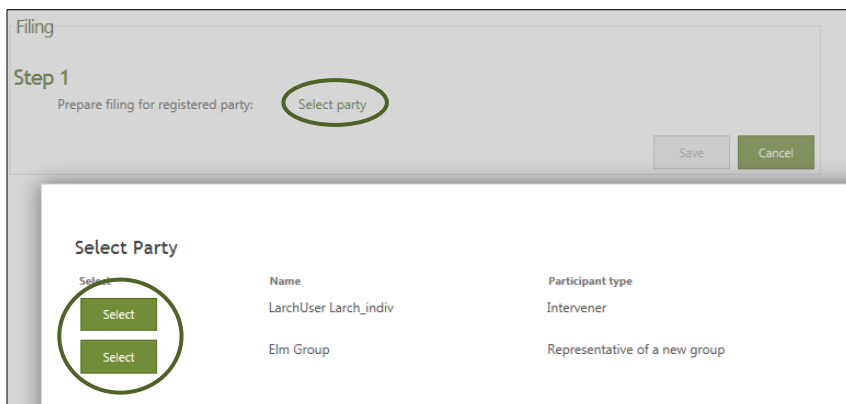
Registered participants in a proceeding create, edit and delete draft filings for a proceeding.

Participants include:

- applicants
- interveners
- market participant objectors
- representatives
- court reporters

This field is automatically populated with your name and participant type entered when you [registered to participant in the proceeding](#).

If you are a representative acting for more than one group or registered party, Step 1 requests that you select who you are making the filing on behalf of.



The screenshot shows the 'Step 1' screen with the heading 'Prepare filing for registered party:'. The 'Select party' button is circled in green. Below it are 'Save' and 'Cancel' buttons. A 'Select Party' dialog box is open, showing a list of participants with 'Select' buttons next to them. The participants listed are 'LarchUser Larch\_indiv' (Intervener) and 'Elm Group' (Representative of a new group).

### Step 2: Select the schedule item

Filing items for the participant type are listed; for example, transcript is shown to a court reporter.

**Note:** A filing type cannot be changed once selected. If necessary, delete the draft filing and create a new corrected one. After registration of the filing, contact the AUC to make any required changes.

If you select a filing type in Step 2, you are moved directly to Step 4 to enter a description of the filing.

No schedule item was required for my filing type

Schedule

Process	Title	Type	Start date	Closing date ↑
Select	Participation closing date	Participation closing date	2014/11/05 10:21:52 AM	
Select	Test argument	Argument	2014/11/05 08:00:00 AM	2014/11/07 02:00:00 PM
Select	IRrequest Round 1 by Intervner	Information request	2014/11/05 08:00:00 AM	2014/11/07 02:00:00 PM

If the filing is not related to a schedule item, select **No schedule item was required for my filing type**. You are moved to Step 3 to select the filing type.

### Step 3: Select filing type

Select filing type

Select	Filing type	Description
Select	Correspondence - external	Letters, emails and other miscellaneous correspondence written by involved parties regarding the proceeding (if you are requesting an action from the Commission use document type: procedural submission - motion).
Select	Hearing exhibit	Documents that are introduced into evidence and accepted as evidence on the record at the oral hearing (not pre-filed evidence).
Select	Opening statement	Opening remarks by registered parties upon commencement of the oral hearing.
Select	Pre-hearing documentation	Correspondence regarding the pre-hearing stage including participant positions, costs, need for third-party consultants, hearing procedures, time allotment for parties, negotiated settlements, appropriate dispute resolution, technical meetings or information sessions.
Select	Undertaking	Evidence submitted to comply with an undertaking to provide an answer to a question asked during an oral hearing.

If you choose Information or Undertaking Response, you must select which information/undertaking request you are responding to. Multiple responders can be added to a filing and the filing can relate to one or more applications in the proceeding.

### Step 4: Enter filing description

Enter a description for this filing:

Correspondence by Elm\_org on behalf of Intervener - Larchuser.  
Attachment of sample email.

Enter a description that will withstand time.  
This is viewed by all users in the eFiling System.

### Step 5: Identify applications the filing applies to

Select applications (if this is not to attach to all applications in this proceeding)

Applications selected:

Choose application(s)

<input checked="" type="checkbox"/> All	Application Number	Application Category	Application Type	Application Location	Elec. Facility	Applicant Request
<input checked="" type="checkbox"/>	20020-A001	Power generation	Power plant	Multiple	AESO01	Oak_org applying for a power plant.

Save Cancel

When all the information is complete, click **Save** to open the new filing in the Filing details page.

**Filing**

**Step 1**

Prepare filing for registered party: LarchUser Larch\_indiv  
Participant type: Intervener

**Step 2 - Select the schedule item**

Type - selected: No schedule item is required for my filing type

**Step 3 - Select filing type**

Type: Correspondence - external  
Description: Letters, emails and other miscellaneous correspondence written by involved parties regarding the proceeding (if you are requesting an

**Step 4 - Enter filing description**

Enter a description for this filing:  
Correspondence by Elm\_org on behalf of Intervener - Larchuser.  
Attachment of sample email.

**Step 5 - Identify application(s) this filing applies to**

Select application(s) (if this is not to attach to all applications in this proceeding)  
Application(s) selected: 20020-A001

**Save** **Cancel**

While a filing is in draft form, you can

- [edit filing information](#),
- [upload filing document\(s\)](#),
- [register the filing](#), or
- [delete the filing](#).

**Proceeding 20020**

**Proceeding home**

Applicants  
Applications  
Dispositions  
Documents  
Filings  
Notifications  
Registered parties  
Schedule

**Filing information**

**Edit info** **Upload filing document(s)** **Register filing** **Delete filing**

**Filing number:** 20020-F0004 **Filing type:** Correspondence - external **Status:** Draft **Late:** No

**Schedule name:** **Schedule type:** **Schedule closing date:**

**Filed by:** Elm Test Org **Registered party:** LarchUser Larch\_indiv **Create Date/Time:** 2014/11/05 11:40 AM

**Description:** Correspondence by Elm\_org on behalf of Intervener - Larchuser. Attachment of sample email.

## Edit filing information

Select the filing to update. The Registered filings tab lists filings already registered in the eFiling System. The Filing to me tab lists registered information and undertaking request filings where you are the responder. The My draft filings tab lists draft filings where you are the one creating the filing.

Use the filter criteria to search for filings in this proceeding. See [Find](#) and [Search](#) to search for filings across proceedings.

Filing	Type	Late	Filed by	Registered party	Creation date	Description	Responders	Requestor
20020-F0005	Argument	No	Elm Test Org	Elm Group	2014/11/05 11:53:09 AM	Argument by Elm Group submitted by representative Elm_org		

On the Filing details page select **Edit info** to open the draft filing.

You can edit the filing description and change the applications that the filing applies to (see [Create a filing](#)). To change the filing type or relate the filing to a schedule item, you must delete the existing draft filing and create a new one.

## Upload filing document(s)

Filing documents are uploaded on the Filing details page. Select **Filings** in the left navigation menu and then select the filing to open the Filing details page.

Filing	Type	Late	Filed by	Registered party	Creation date	Description	Responders	Requestor
20020-F0005	Argument	No	Elm Test Org	Elm Group	2014/11/05 11:53:09 AM	Argument by Elm Group submitted by representative Elm_org		

Proceeding 20020 <b>Proceeding home</b> Applicants Applications Dispositions Documents Filings Notifications Registered parties Schedule	Filing information			
	<div> <div>Edit info</div> <div><b>Upload filing document(s)</b></div> <div>Register filing</div> <div>Delete filing</div> </div>			
	Filing number:	20020-F0005	Filing type:	Argument
	Status:	Draft	Late:	No
	Schedule name:	Test argument	Schedule type:	Argument
	Schedule closing date:	2014/11/07 02:00 PM		
Filed by:	Elm Test Org	Registered party:	Elm Group	
Create Date/Time:	2014/11/05 11:53 AM			
Description:	Argument by Elm Group submitted by representative Elm_org			

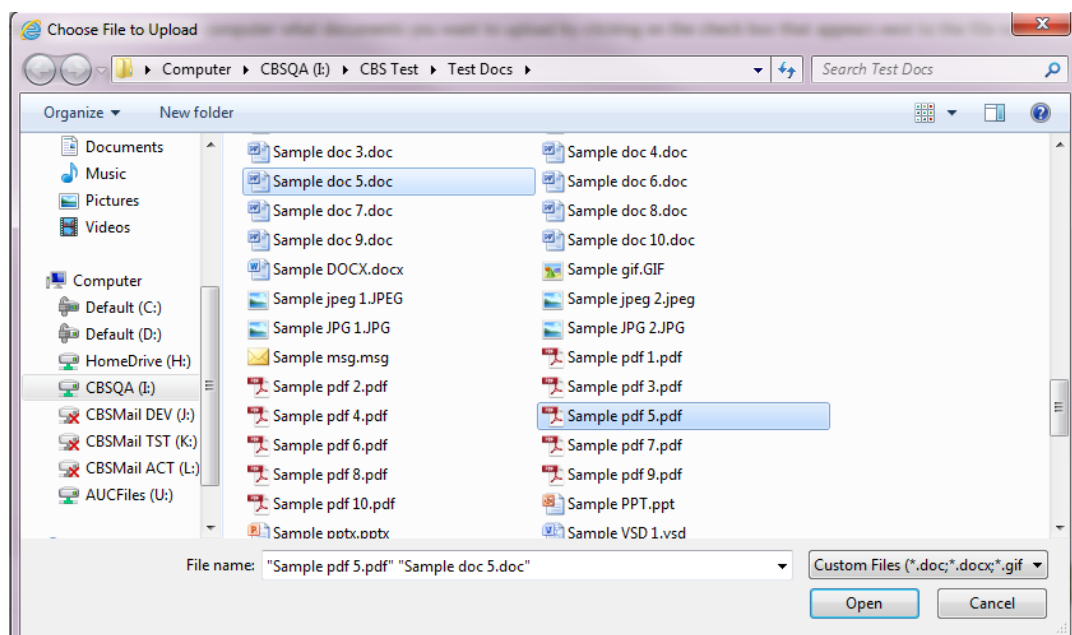
Select **Upload filing document(s)**.

Before you can upload any files you must first agree to the AUC [privacy policy](#).

Uploading documents for the proceeding is a two-step procedure.

### Step 1: Select the files to upload

Navigate to the file directory. Depending on the browser version you are using you will either click on the file name (use the Ctrl key to select multiple files) or hover over the file name and click the checkbox that appears to the left of the file name.



### Step 2 – Set document types, applications and descriptions for each file

Select

☐ Set the default descriptions for all of these files to their filename (excluding the file extension, e.g. .docx) if you would like to populate the description field for all files with the file name.

Enter a description of the file that will stand the test of time; for example, *“Company TNT, Updated Air Photo Mosaic, Site 22a, May 14, 2014”*.

Upload filing document(s)

[Return to step 1 - Add more files](#)

**Step 2 - Set descriptions for each file**

Please note that mandatory fields are identified with a red asterix

☐ Set the default descriptions for all of these files to their filename (excluding the file extension, e.g. .docx)

File Name	Description	Remove
Sample doc 5.doc	<input type="text" value="Elm Group argument document for power plant"/>	* <a href="#">Remove</a>
Sample pdf 5.pdf	<input type="text" value="Elm Group argument PDF for power plant"/>	* <a href="#">Remove</a>

Note that filenames for documents will be changed when they are uploaded to fit the standardized naming scheme. The original name will be preserved.

[Upload document\(s\)](#) [Cancel](#)

Click **Upload document(s)** to load the documents to the eFiling System. (This button is only active when all required upload information has been entered.)

Documents can be added and deleted at any time while a filing is in draft form. Once a filing is registered the filing documents are part of the record and cannot be removed; you must make a request to the AUC to add or remove (void or withdraw) a document on a registered filing.

## Information/undertaking requests and responses

Parties can submit and respond to information requests where one party requests another party to provide further information to clarify filed evidence, to simplify issues in dispute, to allow a clearer understanding of the matters to be considered by the AUC, or to expedite the proceeding. [Rule 001: Rules of Practice](#) outlines the procedures for making an information request. Information requests must be in writing, dated, contain specific questions that clearly specify the information sought, and be filed in accordance with the rules of practice.

Information requests and information responses can be submitted after the start of an oral hearing session date if required.

## Register filing

To register a filing, select **Register filing** on the Filing details page.

Proceeding 20020 <a href="#">Proceeding home</a> <a href="#">Applicants</a> <a href="#">Applications</a> <a href="#">Dispositions</a> <a href="#">Documents</a> <a href="#">Filings</a> <a href="#">Notifications</a> <a href="#">Registered parties</a>	Filing information			
	<a href="#">Edit info</a>	<a href="#">Upload filing document(s)</a>	<a href="#">Register filing</a>	<a href="#">Delete filing</a>
	Filing number:	20020-F0005	Filing type:	Argument
	Status:	Draft	Late:	No
	Schedule name:	Test argument	Schedule type:	Argument
	Schedule closing date:	2014/11/07 02:00 PM		
	Filed by:	Elm Test Org	Registered party:	Elm Group
	Create Date/Time:	2014/11/05 11:53 AM		
	Description:	Argument by Elm Group submitted by representative Elm_org		

When a filing is registered

- the registered date is set to the current date and time,
- exhibit numbers are assigned to the filing documents, and
- all registered parties are notified.

Filings and documents associated with a schedule item are marked as late if they are registered after the schedule closing date.



## Delete filing

A filing can be deleted at any time before it is registered in the eFiling System. All associated documents are also deleted. To delete a filing, open the filing and select **Delete filing** on the Filing details page.

Filings cannot be deleted once they have been registered. If changes to the filing are required after registration contact the AUC at [info@auc.ab.ca](mailto:info@auc.ab.ca).

## Exhibit numbers

When a proceeding is registered in the eFiling System, all documents filed with the application or filing are assigned a unique identifying number. This exhibit number is used to refer to documents, especially at oral hearings where proceeding documents are called for display to all participants. The eFiling System auto-generates exhibit numbers for all documents submitted prior to the commencement of a hearing or pre-hearing session. Filings identified and presented as exhibits during a hearing are assigned exhibit numbers manually by AUC staff.

### Exhibit number format

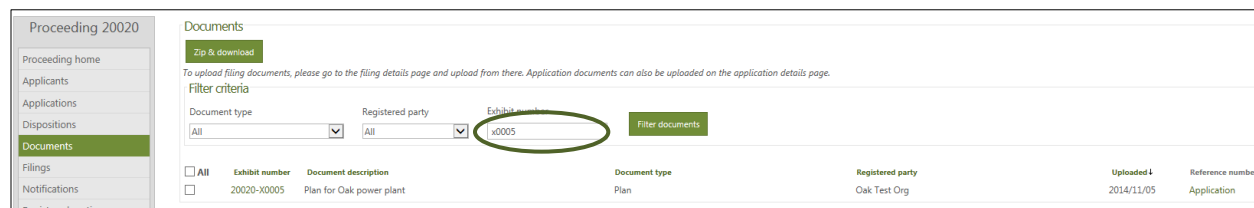
Exhibit numbers are unique within a proceeding; a number cannot be assigned to more than one document in the same proceeding.

Exhibit numbers start with the proceeding number followed by “-X”, followed by 4 digits; for example, 111232-X0001). The first application form in a proceeding is assigned a 0001 exhibit number; all following application documents are assigned a sequential number (111232-X0002, 111232-X0003...).

## View and search exhibits

Exhibit numbers are listed next to the documents in the eFiling System.

Quick access directly to a particular exhibit is often required especially in hearings. To quickly search for an exhibit number in a proceeding, select **Documents** in the left navigation menu and enter the exhibit number in the search criteria field.



The screenshot shows the 'Documents' section of the eFiling System. On the left is a navigation menu with 'Documents' selected. The main area has a 'Filter criteria' section with three dropdown menus: 'Document type' (set to 'All'), 'Registered party' (set to 'All'), and 'Exhibit number' (set to 'X0005', which is circled in green). A 'Filter documents' button is to the right. Below the filters is a table of documents.

<input type="checkbox"/> All	Exhibit number	Document description	Document type	Registered party	Uploaded &	Reference number
<input type="checkbox"/>	20020-X0005	Plan for Oak power plant	Plan	Oak Test Org	2014/11/05	Application

You can enter part of the exhibit number to return search results; for example, X005 returns all exhibit numbers starting with X005; 017 returns all exhibit numbers containing 017. Enter a minimum of three numbers/characters.

**Note:** Enter the attachment number to search for exhibit numbers generated in the previous electronic filing system.

If you do not know the proceeding number, enter the exhibit number or as much of it as you can proceeded by X (for exhibit) on the main [Search](#) page. The following example returns all proceedings, applications, filings and dispositions containing X0005.

[All Sites](#) [Applications](#) [Filings](#) [Dispositions](#)

Search: x0005 [Advanced Search](#) [Search Help](#)

Search: ☒ All content ☐ Documents ☐ List items

Results 1-10 of about 25 for 'x0005' in external eFiling (0.55 seconds)

Sort by: [Relevance](#) Grouped by: [None](#)

Application: 2014-0-0003-0005

Sample VSD 1\_0005

Page 1

[http://4sp1/Proceeding20020/ProceedingDocuments/Sample VSD 1\\_0005.vsd](http://4sp1/Proceeding20020/ProceedingDocuments/Sample VSD 1_0005.vsd)

Exhibit Number: 20020-X0005 Document Type: Plan Registered party: Oak Test Org Document Description: Plan for Oak power plant

[Show document preview](#)

## System communication

There are three methods of communication in the eFiling System.

- Notifications are a short synopsis of activities that occurred on a proceeding
- Daily email summary of proceeding activity
- Messages are immediately sent by email for specific conditions

## Notifications

**Notifications** can be immediately viewed by registered parties; single users and those users whose organization is a registered party. Notifications are viewed under, My Notifications, proceeding Notifications and Recent notifications.

Go to...

Enter proceeding or application no. [Go](#)

[My proceedings](#) | [My schedules](#) | [My notifications](#) | [Reporting](#) | [Discussions](#)

Notifications for proceedings where you are a registered party are shown here.

All notifications for the proceeding are shown here.

Filter notifications/export results to Excel.

Proceeding 20020

Proceeding home

Applications

Dispositions

Documents

Filings

**Notifications**

Registered parties

Schedule

Notifications

You are currently **subscribed** for the daily notification summary email for this proceeding. [Edit subscription](#)

Filter criteria

Notification type:  [Filter notifications](#) [Export To excel](#) [Reset](#)

Notification subjects:

Created	Subject	Type
2014/11/05	20020-F0005: Argument.	Filing registration
2014/11/05	20020-F0004: Correspondence - external.	Filing registration
2014/11/05	20020-F0003: Statement of intent to participate.	Filing registration
2014/11/05	Group Elm Group: represented by: Elm Test Org registered to participate.	Participant added
2014/11/05	Information Request & Information Response schedule items added (Title: IRequest Round 1 by Intervener).	Schedule item created
2014/11/05	Hearing schedule added (Title: Test hearing for Nov. 12, 2014).	Schedule item created
2014/11/05	Argument schedule added (Title: Test argument).	Schedule item created
2014/11/05	20020-F0002: Statement of intent to participate.	Filing registration
2014/11/05	Intervener: LarchUser Larch_indiv: represented by: Elm Test Org registered to participate.	Participant added
2014/11/05	20020-F0001: Statement of intent to participate.	Filing registration
2014/11/05	Group Test Group: represented by: Spruce Test Org registered to participate.	Participant added

The ten most recent notifications are listed on the Home page.

The screenshot shows the eFiling System Home page. At the top, there is a green header with the 'eFILING SYSTEM' logo and 'Alberta Utilities Commission' text. A search bar is on the right. Below the header, there are navigation links: Home, Request proceeding, Find, and How Do I...?. On the right side of the header, there are links for 'ElmUser\Adm Elm\_org's profile', 'My organizational profile', and 'Sign out'. The main content area is divided into several sections. On the left, there is a 'Go to...' section with a search bar and a 'Go' button. Below this are links for 'My proceedings', 'My schedules', 'My notifications', 'Reporting', and 'Discussions'. There is also a 'Quick tips' section with links for 'File application', 'Register to participate', 'Make a filing', and 'Upload documents'. The 'Recent notifications' section is highlighted with a green arrow. It contains a table with columns: Created, Proceeding, Subject, and Type. The table lists ten notifications, including filing registrations, correspondence, statements of intent to participate, and schedule items added.

## Daily email summary

A **daily email summary** is triggered by any activity on the proceeding. You can [subscribe to this email summary](#) (or unsubscribe) if you or your organization is a registered participant on the proceeding. If you are not a registered participant and wish to receive this email, [register as an observer](#) on the proceeding

## Messages

**Email messages** are immediately sent for specific conditions listed in the following table. Messages are not shown in View Notifications and My Notifications page.

Condition	Email message sent to
Proceeding registered	<ul style="list-style-type: none"> <li>applicant(s) primary and secondary contacts</li> <li>primary applicant organization's eFiling System administrator</li> </ul>
Filing announcement registered	<ul style="list-style-type: none"> <li>all users who has selected to receive <a href="#">Filing announcement globally</a>.</li> </ul>
Statement of intent to participate registered	<ul style="list-style-type: none"> <li>individual who registered the statement of intent to participate and if different, the registered party for whom the statement of intent to participate was registered</li> </ul>
Dispositions issued	<ul style="list-style-type: none"> <li>registered parties</li> </ul>
Notice of application filed	<ul style="list-style-type: none"> <li>all users who has selected to receive <a href="#">Notice of application globally</a>.</li> </ul>
User account created	<ul style="list-style-type: none"> <li>user receives a system-generated password</li> </ul>
Password reset	<ul style="list-style-type: none"> <li>user receives a system-generated password</li> </ul>

## Proceeding notifications

Single users registered as observers are automatically subscribed to the proceeding. Organizational users have this option if their organization is a registered party on the proceeding.

Select **Notifications** in the left navigation menu to open the Notifications page to list notifications for this proceeding.

Proceeding 20020

Notifications

You are currently **subscribed** for the daily notification summary email for this proceeding. [Edit subscription](#)

Filter criteria

Notification type:  Notification subject:

[Filter notifications](#) [Export To excel](#) [Reset](#)

Created	Subject	Type
2014/11/05	20020-F0005: Argument.	Filing registration
2014/11/05	20020-F0004: Correspondence - external.	Filing registration
2014/11/05	20020-F0003: Statement of intent to participate.	Filing registration
2014/11/05	Group Elm Group: represented by: Elm Test Org registered to participate.	Participant added
2014/11/05	Information Request & Information Response schedule items added (Title: IRequest Round 1 by Intervner).	Schedule item created
2014/11/05	Hearing schedule added (Title: Test hearing for Nov. 12, 2014).	Schedule item created
2014/11/05	Argument schedule added (Title: Test argument ).	Schedule item created
2014/11/05	20020-F0002: Statement of intent to participate.	Filing registration
2014/11/05	Intervener: LarchUser Larch_indiv: represented by: Elm Test Org registered to participate.	Participant added
2014/11/05	20020-F0001: Statement of intent to participate.	Filing registration
2014/11/05	Group Test Groups: represented by: Spruce Test Org registered to participate.	Participant added

Select **Edit subscription** to subscribe (receive a daily email summary of the proceeding notifications) or unsubscribe from the proceeding notifications (the email summary will not be sent).

**Edit my proceeding subscription**

Daily notification email: ☒ Subscribe ☐ Unsubscribe

[Save](#) [Cancel](#)

## Global notifications

To receive emails, select your profile on the upper right menu bar and then in the User information pop-up box, select the types of emails to receive. Filing announcements and/or notices of application are emailed daily.

**eFILING SYSTEM**  
Alberta Utilities Commission

Home Request proceeding Find How Do I...?

1 [ElmUser1Adm Elm\\_org's profile](#) My organiza

Change general information Change password Change security question

**Personal Info**

First name \*

Last name \*

**Contact Info**

Email address \*

Confirm Email address \*

Phone number

**Login Info**

Login ID

Profile administrator ☒

**Global Notification Settings**

Filing Announcement ☐

Notice of Application ☐ 2

[Save](#) [Back](#)

## Reporting

Use the Reporting option in eFiling to submit reports to the AUC that are not associated to a proceeding. All the eFiling System users can submit, view and [search](#) these reports.

The reports include, for example, the annual and quarterly compliance reports for service quality and reliability performance metrics for owners of electric distribution required by [Rule 002: Service Quality and Reliability Performance Monitoring and Reporting for Owners of Electric Distribution Systems and for Gas Distributors](#); and the annual report of applications in response to Rule 005 required by [Rule 005: Annual Reporting Requirements of Financial and Operational Results](#).

## Submit a report

Select **Reporting** in **Go to...** on the Home page.

**Go to...**  
  
[My proceedings](#) | [My schedules](#) | [My notifications](#) | [Reporting](#) | [Discussions](#)

List of submitted reporting

<input type="button" value="Create &amp; submit reporting"/>						
Title	Reporting type	Submitted Date	Submitter	Reporting period	Reporting year	
<a href="#">Oak Test Org-First quarter-2014/11/06</a>	Service Quality and Reliability Performance Monitoring and Reporting	2014/11/06	Oak Test Org	First quarter	2013	
<a href="#">Oak Test Org-Second quarter-2014/11/06</a>	Service Quality and Reliability Performance Monitoring and Reporting	2014/11/06	Oak Test Org	Second quarter	2013	
<a href="#">Oak Test Org-Third quarter-2014/11/06</a>	Service Quality and Reliability Performance Monitoring and Reporting	2014/11/06	Oak Test Org	Third quarter	2013	
<a href="#">Oak Test Org-Annual-2014/11/06</a>	RRT/DRT Provider reporting	2014/11/06	Oak Test Org	Annual	2013	
<a href="#">Pine Test Org-First quarter-2014/11/06</a>	Service Quality and Reliability Performance Monitoring and Reporting	2014/11/06	Pine Test Org	First quarter	2013	
<a href="#">Pine Test Org-Second quarter-2014/11/06</a>	Service Quality and Reliability Performance Monitoring and Reporting	2014/11/06	Pine Test Org	Second quarter	2013	
<a href="#">Pine Test Org-Annual-2014/11/06</a>	RRT/DRT Provider reporting	2014/11/06	Pine Test Org	Annual	2013	
<a href="#">Spruce Test Org-Annual-2014/11/06</a>	RRT/DRT Provider reporting	2014/11/06	Spruce Test Org	Annual	2013	
<a href="#">Maple Test Org-First quarter-2014/11/06</a>	Service Quality and Reliability Performance Monitoring and Reporting	2014/11/06	Maple Test Org	First quarter	2013	
<a href="#">Elm Test Org-Annual-2014/11/06</a>	RRT/DRT Provider reporting	2014/11/06	Elm Test Org	Annual	2013	

In the List of submitted reporting page, click **Create & submit reporting**.

All users must first agree to the AUC [privacy policy](#).

**Step 1:** The name of your organization is automatically assigned.

**Step 2:** Select the reporting type you are submitting.

The AUC defines the reporting types. Contact the AUC at [info@auc.ab.ca](mailto:info@auc.ab.ca) to request a new reporting type.

**Step 1**  
Submitter: "Oak Test Org"

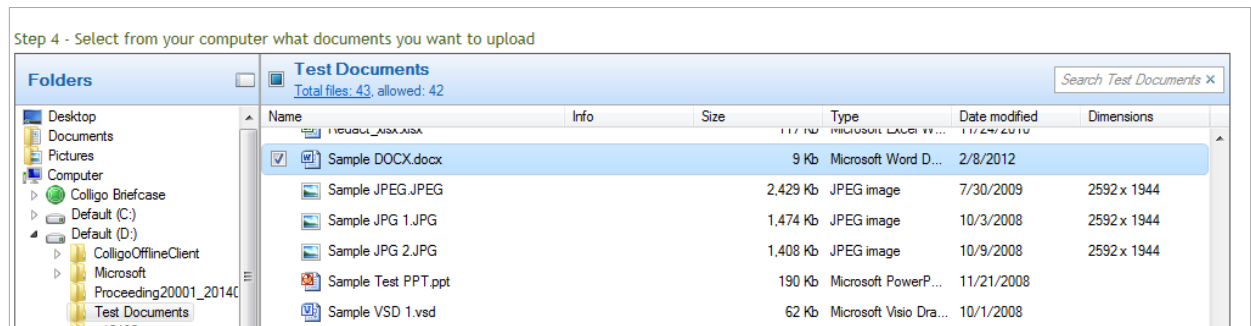
**Step 2 - Select reporting type**

Select	Reporting type name	Rule	Description
<input type="radio"/>	Service Quality and Reliability Performance Monitoring and Reporting	Rule 2	Service Quality and Reliability Performance Monitoring and Reporting for Owners of Electric Distribution Systems and for Gas Distributors
<input type="radio"/>	RRT/DRT Provider reporting	Rule 5	Providers of regulated rate tariff (RRT) service and default rate tariff (DRT) service to file with the Commission a separate set of schedules

**Step 3:** Select the reporting period and the reporting year from the drop-down lists.

**Select reporting period** **Select reporting year**

**Step 4:** Select the reporting file(s) to upload.



See [Add application documents](#) for upload instructions.

**Step 5:** Enter the report file description and click **Upload document(s) & submit reporting**.

Step 5 - Set descriptions for each file  
Please note that mandatory fields are identified with a red asterisk  
☐ Set the default descriptions for all of these files to their filename (excluding the file extension, e.g., .docx)

File Name	Description	Remove
Sample pdf 9.pdf	<input type="text" value="Spruce_org reporting for Qtr 1 of 2014"/>	<input type="button" value="Remove"/>

Note that filenames for documents will be changed when they are uploaded to fit the standardized naming scheme. The original name will be preserved.

The applicant organization's primary and secondary contacts are emailed that the report was successfully received at the AUC and published on the website.

The report title consists of the [User Name]-[Reporting Period]-[Date-Submitted]; for example Elm Test Org-Annual-2014/11/06.

List of submitted reporting

Title	Reporting type	Submitted Date	Submitter	Reporting period	Reporting year
<a href="#">Oak Test Org-First quarter-2014/11/06</a>	Service Quality and Reliability Performance Monitoring and Reporting	2014/11/06	Oak Test Org	First quarter	2013
<a href="#">Oak Test Org-Second quarter-2014/11/06</a>	Service Quality and Reliability Performance Monitoring and Reporting	2014/11/06	Oak Test Org	Second quarter	2013
<a href="#">Oak Test Org-Third quarter-2014/11/06</a>	Service Quality and Reliability Performance Monitoring and Reporting	2014/11/06	Oak Test Org	Third quarter	2013
<a href="#">Oak Test Org-Annual-2014/11/06</a>	RRT/DRT Provider reporting	2014/11/06	Oak Test Org	Annual	2013
<a href="#">Pine Test Org-First quarter-2014/11/06</a>	Service Quality and Reliability Performance Monitoring and Reporting	2014/11/06	Pine Test Org	First quarter	2013
<a href="#">Pine Test Org-Second quarter-2014/11/06</a>	Service Quality and Reliability Performance Monitoring and Reporting	2014/11/06	Pine Test Org	Second quarter	2013
<a href="#">Pine Test Org-Annual-2014/11/06</a>	RRT/DRT Provider reporting	2014/11/06	Pine Test Org	Annual	2013
<a href="#">Spruce Test Org-Annual-2014/11/06</a>	RRT/DRT Provider reporting	2014/11/06	Spruce Test Org	Annual	2013
<a href="#">Maple Test Org-First quarter-2014/11/06</a>	Service Quality and Reliability Performance Monitoring and Reporting	2014/11/06	Maple Test Org	First quarter	2013
<a href="#">Elm Test Org-Annual-2014/11/06</a>	RRT/DRT Provider reporting	2014/11/06	Elm Test Org	Annual	2013

If a report requires AUC review before being published on the website, the following message is shown.

Submitted reporting info

The submitted reporting and the documents associated to the reporting will not be available until they have been released by the AUC

The AUC report custodian will review the report content before publishing it on the eFiling System website.

## View a report

Select **Reporting** in **Go to...** on the Home page.

**Go to...**

[My proceedings](#) | [My schedules](#) | [My notifications](#) | **[Reporting](#)** | [Discussions](#)

### List of submitted reporting

<a href="#">Create &amp; submit reporting</a>					
Title	Reporting type	Submitted Date	Submitter	Reporting period	Reporting year
<a href="#">Oak Test Org-First quarter-2014/11/06</a>	Service Quality and Reliability Performance Monitoring and Reporting	2014/11/06	Oak Test Org	First quarter	2013
<a href="#">Oak Test Org-Second quarter-2014/11/06</a>	Service Quality and Reliability Performance Monitoring and Reporting	2014/11/06	Oak Test Org	Second quarter	2013
<a href="#">Oak Test Org-Third quarter-2014/11/06</a>	Service Quality and Reliability Performance Monitoring and Reporting	2014/11/06	Oak Test Org	Third quarter	2013
<a href="#">Oak Test Org-Annual-2014/11/06</a>	RRT/DRT Provider reporting	2014/11/06	Oak Test Org	Annual	2013
<a href="#">Pine Test Org-First quarter-2014/11/06</a>	Service Quality and Reliability Performance Monitoring and Reporting	2014/11/06	Pine Test Org	First quarter	2013
<a href="#">Pine Test Org-Second quarter-2014/11/06</a>	Service Quality and Reliability Performance Monitoring and Reporting	2014/11/06	Pine Test Org	Second quarter	2013
<a href="#">Pine Test Org-Annual-2014/11/06</a>	RRT/DRT Provider reporting	2014/11/06	Pine Test Org	Annual	2013
<a href="#">Spruce Test Org-Annual-2014/11/06</a>	RRT/DRT Provider reporting	2014/11/06	Spruce Test Org	Annual	2013
<a href="#">Maple Test Org-First quarter-2014/11/06</a>	Service Quality and Reliability Performance Monitoring and Reporting	2014/11/06	Maple Test Org	First quarter	2013
<a href="#">Elm Test Org-Annual-2014/11/06</a>	RRT/DRT Provider reporting	2014/11/06	Elm Test Org	Annual	2013

Click on title of the report within the list on the List of submitted reporting page. Then select the specific file name to view from the list of files on the Submitted reporting documents pop-up box.

## Find

**Find**

[Applications](#)

[Dispositions](#)

[Filings](#)

[Organizations](#)

[Proceedings](#)

Use **Find** on the top toolbar to locate current and historic applications, dispositions, filings, organizations, and proceedings.

Find gives you a quick way to target specific files based on a variety of criteria such as status, applicant, registration and disposition dates, and a simple way to export the data to an Excel spreadsheet.

Enter filter criteria and click **Find** to list the results in the lower part of the page (**Reset** clears current filter criteria).

### Find results:

**Find applications**

**Filter criteria**

☐ Include historical name

Applicant:

Facilities

Division:

All

Application category:

All

Application types:

All

Application Status:

Electric facility ID:

Alternate reference:

Registration start date:

11/5/2014

Registration end date:

Disposition start date:

Disposition end date:

Total applications found: 7

Application No.	Application category	Application type	Primary applicant	Application description	Registration date	Electric facility ID	Application status	Alternate reference
20020-A001	Power generation	Power plant	Oak Test Org	Oak_org applying for a power plant.	05 November 2014	AESO01	Registered	
20024-A001	Industrial system designations	Industrial system designation interconnection	Oak Test Org	ISD Interconnection	05 November 2014		Registered	Oak003
20025-A001	Transmission lines and substations	Transmission interconnection	Oak Test Org	Transmission interconnection	05 November 2014		Registered	Oak004
20026-A001	Power generation	Power plant interconnection	Oak Test Org	Power plant interconnection	05 November 2014		Registered	Oak006
20027-A001	Distribution facilities, areas and boundaries	Rural electrification association	Pine Test Org	REA	05 November 2014		Registered	Pine01
20028-A001	Power generation	Power plant	Spruce Test Org	Power plant	05 November 2014	AESO02	Registered	Spruce01
20029-A001	Transmission lines and substations	Substation	Maple Test Org	Substation	05 November 2014	Maplesub1	Registered	Maple01

**Note:** The Organization function requires a minimum of two characters in the organization name.

Text criteria fields are case sensitive.

**Export to excel** exports the results list as comma-separated values (CSV) file to Excel.



## Search

Use **Search** to enter a text and character string to locate all occurrences of the string in the content of files on the eFiling System website. You can search the content for all files or search only for by the specific applications, filings and dispositions sites. This search uses wildcard or boolean operators and you can also search by file properties or phrases.

Search results:

Refine by site

**All Sites** Applications Filings Dispositions

Search:  Advanced Search Search Help

Search: ☒ All content ☐ Documents ☐ List items

Results 1-10 of about 25 for "20020" in external eFiling (0.72 seconds)

1 2 3 Sort by: Relevance Grouped by: None

**File Type**  
 Html (13)  
 PDF (8)  
 PowerPoint (1)  
 Word (1)  
 XML (1)

**Modified Date**  
 Past Week (17)  
 Past Month (17)  
 Past Six Months (19)  
 Past Year (22)  
 Past Three Years (22)  
 Show More

**Application Type**  
 Power plant (1)

**Document Type**  
 Air photo mosaics (1)  
 Application (1)  
 Authorization letter (1)  
 Correspondence - external (1)  
 Information response (1)  
 Show More

**Proceeding 20020**  
 Privacy policy | Copyright and disclaimer | Contact us ...  
 http://4sp1/Proceeding20020

**Proceeding 20020 - Filings**  
 Privacy policy | Copyright and disclaimer | Contact us  
 http://4sp1/proceeding20020/SitePages/ViewFilings.aspx

**Application-20020-A001\_0006**  
 Creation date November 05, 2014 Status Registered Application number 20020-A001 The applicant certifies that the information provided ... Primary applicant Applicant name Oak Test Org Primary contact OakUser1Adm Oak\_org Secondary contact Email oakuser1@test.ca Email ...  
 http://4sp1/Proceeding20020/ProceedingDocuments/Application-20020-A001\_0006.pdf  
 Exhibit Number: 20020-X0006 Registered party: Oak Test Org Document Description: Generated PDF  
 Show document preview

**Statement of intent to participate-20020-F0001**  
 Commission Statement of Intent to Participate Proceeding No. 20020 Application No(s) 20020-A001 Applicant(s) Oak Test Org Group Name Test Group ... Tell us how our decision on the application(s) may affect you, your land, your business, or your activities ...  
 http://4sp1/Proceeding20020/ProceedingDocuments/Statement of intent to participate-20020-F0001.pdf  
 Exhibit Number: 20020-X0007 Registered party: Test Group Document Description: Generated PDF  
 Show document preview

**Statement of intent to participate-20020-F0002**  
 Commission Statement of Intent to Participate Proceeding No. 20020 Application No(s) 20020-A001 Applicant(s) Oak Test Org Participant information Participant ... Tell us how our decision on the application(s) may affect you, your land, your business, or your ...  
 http://4sp1/Proceeding20020/ProceedingDocuments/Statement of intent to participate-20020-F0002.pdf

Additional search refiners. Select a refiner to narrow your search results.

Additional search refiners include:

Refiner	Example
File type	.PDF, Excel, PowerPoint
Modified date	Past week, Past month
Application type	Substation, Transmission line
Document type	Air photo mosaic, argument
Applicant type	Primary applicant, co-applicant
Disposition type	Decision, approval
Filing type	Notice of application, transcript

Specific search criteria for the eFiling System include:

Criteria	Example
Proceeding:	Proceeding:20020



Criteria	Example
Application:	Application:20020-A001
ApplicationType:	ApplicationType:"transmission line"
DocumentType:	DocumentType:"Comparison Document"
FiledBy:	FiledBy:"Oak test org"
RegisteredParty:	RegisteredParty:"Elm group"

Phrases must be enclosed in single or double parentheses.

More complex search criteria include:

Criteria	Example
Boolean operators (AND, OR, NOT and NEAR)	20015 OR 20020 "Elm group" AND "Spruce test org"
Phrase searches in quotation marks	"Transmission Line 12-3A"
Wildcard operators	Line11* returns Line11, Line11-2, Line11-AGH22
Sort by and Group by	<div>Sort by: <input type="text" value="Relevance"/> Grouped by: <input type="text" value="None"/></div> <div>Sort by Modified Date, Size and Author Group by Author, Date, File Type, Site and Size</div>
Document properties such as author, creation date, file extension and site	Schedule filetype:docx (returns all WORD files containing the word schedule) Filename:"calculation.xlsx"

## Preview search results

Many documents can be viewed directly from the search results list.

**Application-20020-A001\_0006**

Creation date November 05, 2014 Status Registered Application number 20020-A001 The applicant certifies that the information provided ... Primary applicant Applicant name Oak Test Org Primary contact OakUser1Adm  
Oak.org Secondary contact Email oakuser1@test.ca Email ...  
http://46p1/Proceeding20020/ProceedingDocuments/Application-20020-A001\_0006.pdf  
Exhibit Number: 20020-X0006 Registered party: Oak Test Org Document Description: Generated PDF

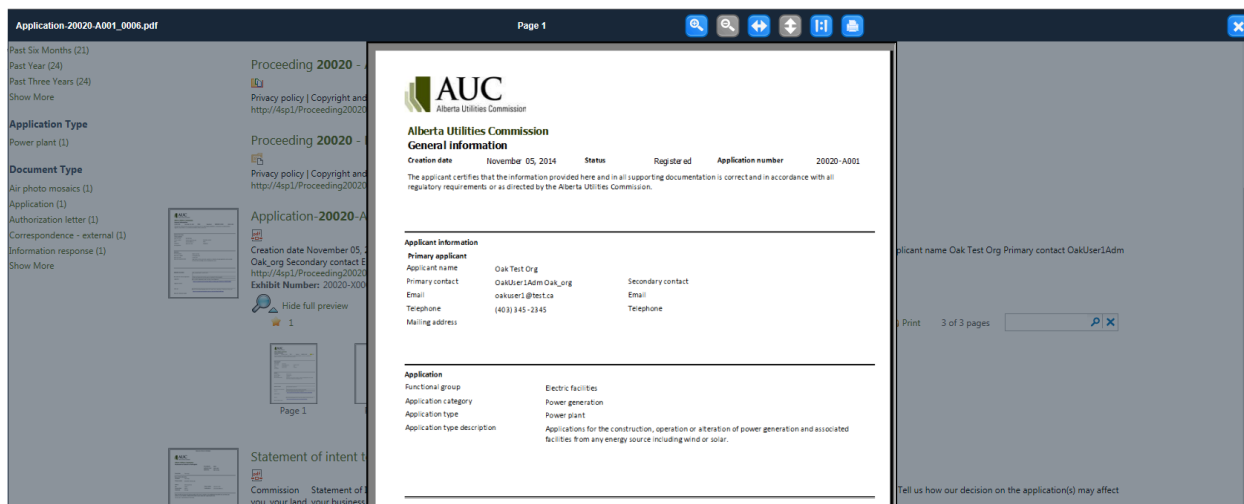
[Hide full preview](#)

Print 3 of 3 pages

Page 1 Page 2 Page 3

If an image is shown to the left of the search listing, click [Show document preview](#).

You can choose to print a selection directly, or double-click a page to open it in a viewer.



## Discussion communities

The discussion communities is a set of community forums on the AUC website for the eFiling System users, include some AUC staff, to discuss and track issues related to the regulation of the utilities industry in Alberta. Discussions could range, for example, from Rule 002 industrial customer metrics and targets to new customer initiatives.

## Participate in a discussion

Select **Discussions** in the **Go to...** section of the Home page.

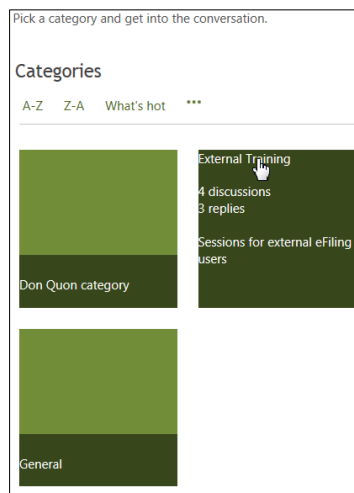
All public and private discussion communities are listed on the Communities page. Public discussion communities are open to all eFiling System users.

Private discussion communities require you to send a request to the AUC to join the discussion.

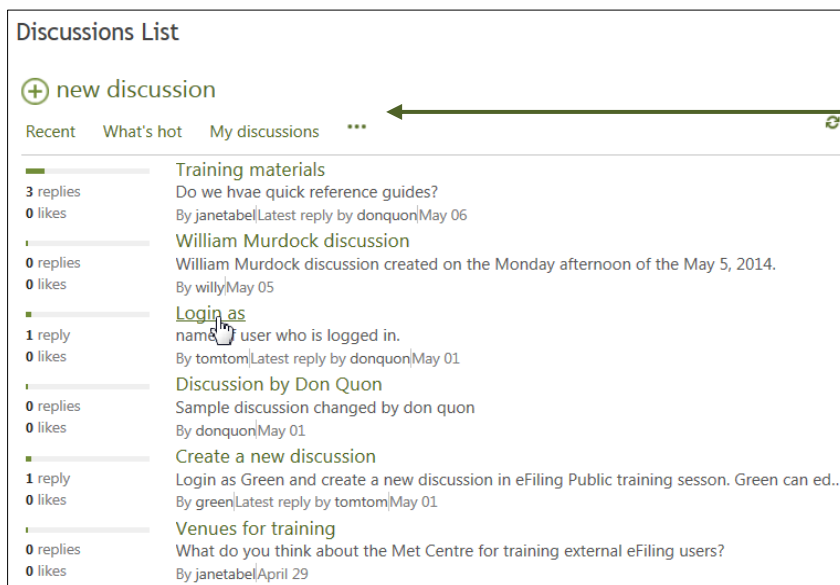
Let us know why you need access to this item.

When you click the URL of a discussion community, a series of categories set up by the moderator for that community are listed.

Click on a category and join the conversation.



Members can post an opinion or question to start a new discussion. Other members can reply to or mark the post as being liked.



What's hot is flagged by the moderator. The ... lists unanswered,

## Start a new discussion

Select + new discussion on the Discussion list page to create a new discussion, ask for replies and choose the category to enter it in.

Title: Test discussion

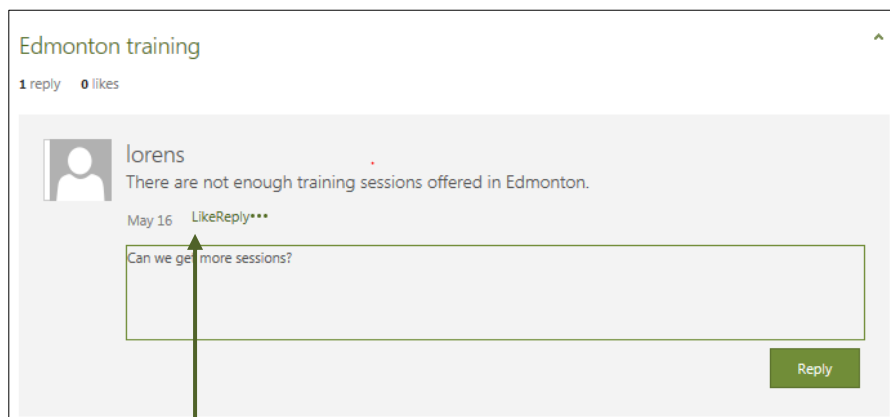
Task Content: How do I get access to the training material?

Question: ☒ I am asking a question and want to get answers from other members.

Category \*: General, Don Quon category, External Training, General

Save Cancel

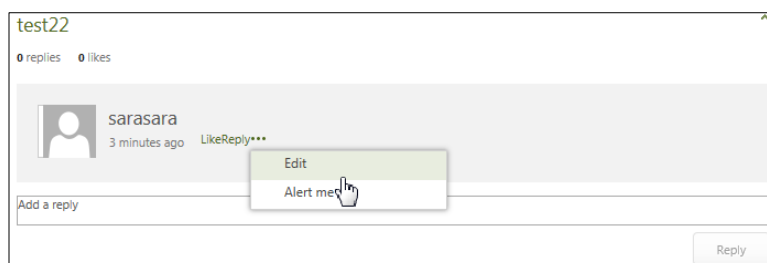
## Reply to the discussion



Click the Like or Reply to a discussion here.

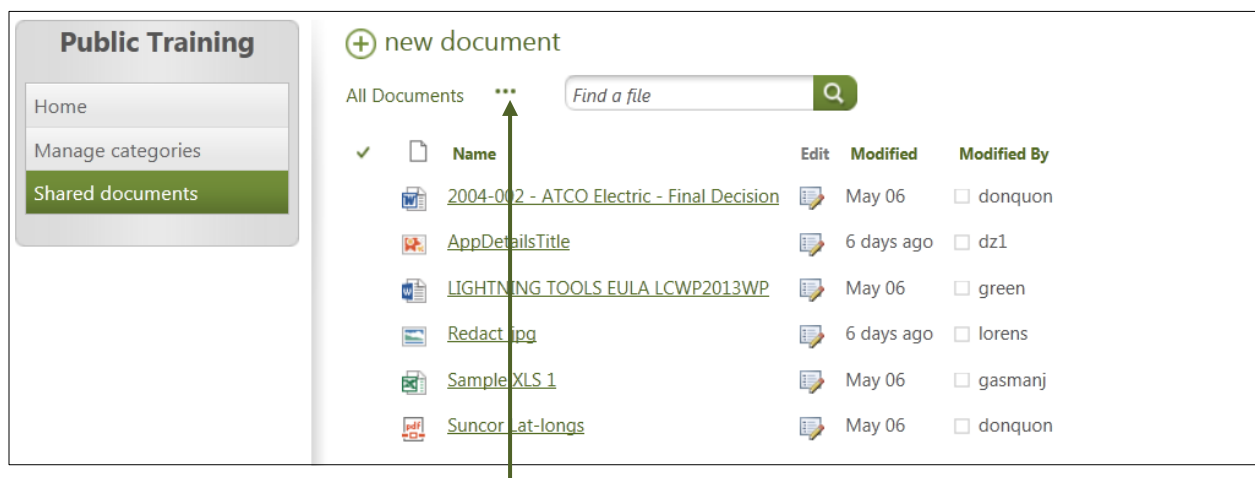
## Edit a discussion

Select the ... beside the **LikeReply** in your discussion to edit the content. Only the AUC community moderator can delete a discussion for you.



## Shared documents

Click **Shared documents** in the left navigation menu to open a page to view existing shared documents and add new ones.




Click the ... to create standard, calendar, access, datasheet or gantt views of the data.

## Create an alert

Select the ... beside **LikeReply** in your discussion to create an alert of changes to the discussion.

### Training materials






3 replies 0 likes

**janetabel**  
Do we hvae quick reference guides?  
May 01 LikeReply...

Alert me

All replies  
Oldest Newest Most liked

### Shared Documents

✓	Name	Modified	Modified By
	2004-002 - ATCO Electric - Final Decision	... May 06	<input type="checkbox"/> donquon
	AppDetailsTitle	... 6 days ago	<input type="checkbox"/> dz1
	LIGHTNING TOOLS EULA LCWP2013WP	... May 06	<input type="checkbox"/> green
	Redact.jpg	... 6 days ago	<input type="checkbox"/> lorens
	Sample VLS 1	May 06	<input type="checkbox"/> garmari

#### Alert Title

Enter the title for this alert. This is included in the subject of the notification sent for this alert.

#### Delivery Method

Specify how you want the alerts delivered.

Send me alerts by:

☒ E-mail

☐ Text Message (SMS)

☐ Send URL in text message (SMS)

#### Change Type

Specify the type of changes that you want to be alerted to.

Only send me alerts when:

☒ All changes

☐ New items are added

☐ Existing items are modified

☐ Items are deleted

#### Send Alerts for These Changes

Specify whether to filter alerts based on specific criteria. You may also restrict your alerts to only include items that show in a particular view.

Send me an alert when:

☒ Anything changes

☐ Someone else changes a post

☐ Someone else changes a post created by me

☐ Someone else changes a post last modified by me

☐ Someone changes an item that appears in the following view:

▼

#### When to Send Alerts

Specify how frequently you want to be alerted. (mobile alert is only available for immediately send)

☒ Send notification immediately

☐ Send a daily summary

☐ Send a weekly summary

Time:

Different types of alerts can be created.

You set:

- how you are alerted,
- changes to be alerted to,
- how to filter alerts, and
- when to send alerts.

## Appendix 1: Scanned documents

It is important that scanned documents be in a readable form; a scanned page (such as one scanned to email on a photocopier) is an image and cannot be searched for specific words. The contents of a file need to be searchable to provide accurate output in a search results list.

### To recognize text in scanned documents

Adobe Acrobat can recognize text in previously scanned documents that have already been converted to PDF. Optical character recognition (OCR) software enables you to search, correct, and copy the text in a scanned PDF.

We recommend that to apply OCR to a PDF document, the original scanner resolution must have been set at 300 dpi or higher.

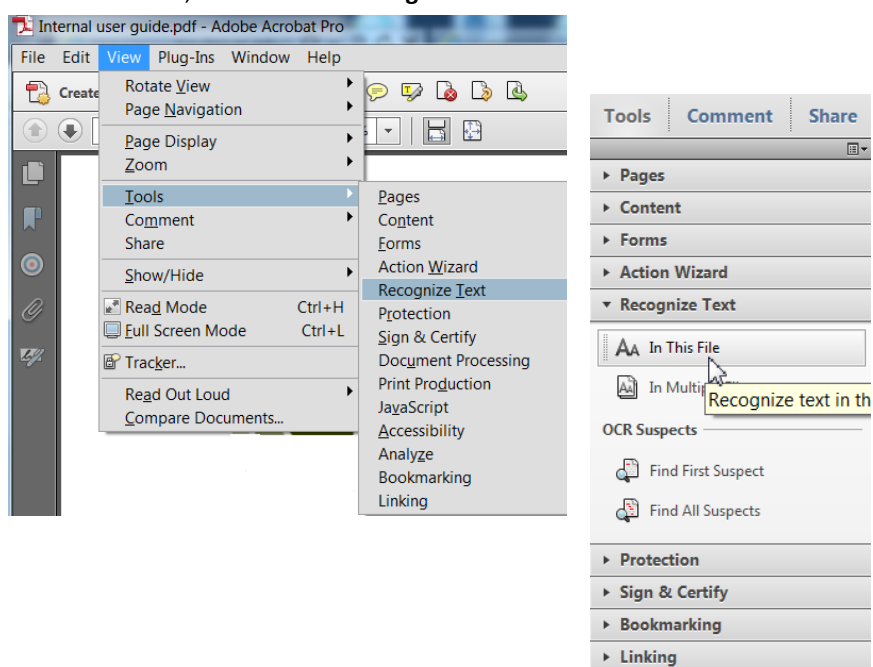
**Note:** Applying OCR to PDF files reduces their size.

See:

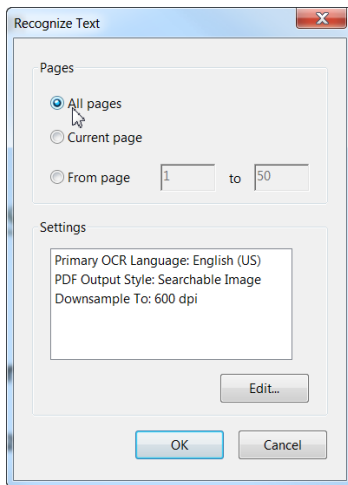
- Scan documents to PDF:  
[http://help.adobe.com/en\\_US/acrobat/X/pro/using/WS3dae0f8e05ff74f958a47f2a132d074ca5e-8000.html](http://help.adobe.com/en_US/acrobat/X/pro/using/WS3dae0f8e05ff74f958a47f2a132d074ca5e-8000.html)
- Recognize text in scanned documents:  
[http://help.adobe.com/en\\_US/acrobat/X/pro/using/WS2A3DD1FA-CFA5-4cf6-B993-159299574AB8.w.html](http://help.adobe.com/en_US/acrobat/X/pro/using/WS2A3DD1FA-CFA5-4cf6-B993-159299574AB8.w.html)

### To convert an image PDF to a PDF with searchable text

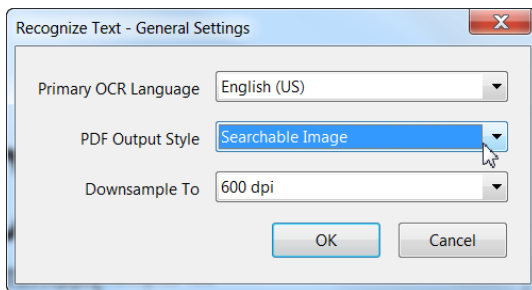
1. Convert the image to PDF format and open it in Adobe Acrobat Pro.
2. On the View tab, select **Tools > Recognize Text> In this File**.



3. In the **Recognize Text** dialogue, select the pages to apply OCR to.



4. Click **Edit** and select the language, output style and dpi (dots per inch) resolution.



**Searchable Image (default):** The original scan is layered on top of the text.

**Searchable Image (Exact):** The PDF is as close to the original scan as possible; text is still searchable.

**Clear Scan:** The original scan is not shown; only text. This option is clearer but not as accurate, for example if Adobe Acrobat doesn't recognize the font, it will make a guess as to what the text is.

**Downsample To:** sets the PDF resolution.

5. Click **OK** in the Recognize Text pop-up box to convert the document.

The following videos provide more information on text recognition:

- Recognizing text in scanned PDF documents: [http://www.adobe.com/go/lrvid\\_025\\_acrx\\_en](http://www.adobe.com/go/lrvid_025_acrx_en)
- How to edit a scanned PDF: [www.adobe.com/go/learn\\_acr\\_edit\\_scans\\_en](http://www.adobe.com/go/learn_acr_edit_scans_en)

## Appendix 2: Rule 007 applications

[Rule 007: Applications for Power Plants, Substations, Transmission Lines, Industrial System Designations and Hydro Developments](#) applies to applications for the construction, alteration, operation, and the discontinuation, dismantling and removal of hydro developments, power plants, substations, transmission lines and industrial system designations, pursuant to the [Hydro and Electric Energy Act](#), and for approvals of a needs identification document, pursuant to the [Electric Utilities Act](#) and [Transmission Regulation](#).

An application form must be completed for each separate facility within a proceeding; for example, three applications are required if applying for Substation 1, Substation 2 and the interconnecting transmission line.

The following table describes each type of attachment, the associated document category and type for uploading to the eFiling System.

Attachment	Description	Document Category	Document Type
Air photo mosaics	An aerial representation of a proposed transmission line route(s) showing the residences, landowner names, and major land-use and resource features.	Design	Air photo mosaics
Alberta Transportation approval	An approval issued by Alberta Transportation for structures located in proximity of a numbered highway or intersection.	Authorization	Alberta Transportation approval
Connection agreement	A written statement from the distribution facility owner indicating that it is willing to connect.	Authorization	Connection consent
Conservation and reclamation plan	A document containing the right-of-way clearing and maintenance plan as required by Alberta Environment.	Technical	Environmental
Development permit	Confirmation that the applicant has submitted an application for a development permit from the appropriate municipal district or county.	Authorization	Development permit
Dynamic studies	Dynamic studies to determine the impact of the new generation on the transient and dynamic stability of the Alberta Interconnected Electric System.	Technical	System performance studies
Electric single-line diagram	A diagram showing the connection configuration between the proposed electric facility and the Alberta Interconnected Electric System.	Design	Diagram
Environmental impact assessment	A report (as required by Alberta Environment and Sustainable Resource Development) describing the anticipated impacts on the environment, social and economic conditions in the region, assessing the significance of those impacts and identifying how those impacts will be mitigated.	Technical	Environmental
Functional specification	Documents that describe the essential technical requirements for materials or services including procedures provided by the independent system operator.	Technical	Functional specification
Interconnection point diagram	An electric single-line diagram showing the interconnection point with the distribution or transmission company.	Design	Diagram
ISD single-line diagram	A diagram showing the basic connection configuration between the electrical components of the entire industrial complex.	Design	Diagram



Attachment	Description	Document Category	Document Type
ISO direction letter	A letter issued by the independent system operator directing a transmission facility owner to submit an application to the AUC to meet an identified need.	Authorization	ISO direction letter
Load flow studies	Local area load flow studies, including contingency analysis.	Technical	System performance studies
Mailing address list	A list of stakeholders contacted as part of the participant involvement program.	Consultation	Mailing list
Navigation Canada evaluation	A copy of evaluation(s) from Navigation Canada for wind turbine blades.	Authorization	Navigation Canada evaluation
Noise impact assessment	A copy of the noise impact assessment report that assesses the potential noise impacts of the proposed facility and/or the AUC Rule 012 noise impact assessment form.	Technical	Noise
Participant involvement program	Details of the participant involvement program conducted by the applicant. .	Consultation	Notification program
Plant site boundary map	A map showing the power plant site boundaries and land ownership as well as any residences and dwellings within 2000 metres of the boundaries.	Design	Map
Plant site drawing	A drawing of the power plant site showing all major equipment components.	Design	Drawing
Process flow diagram	A block diagram showing electrical, natural gas, steam, water or feedstock flows between different blocks representing processes.	Design	Diagram
Project area map	A map of the project area suitable for use in a public notice.	Design	Map
Route map	A map with the proposed transmission line route and any alternate route(s) imposed and showing the right-of-way location and width, location of the line(s) relative to property lines, and mile (kilometre) points along each route.	Design	Map
Short-circuit studies	Short circuit levels at substations near the proposed power plant connection.	Technical	Short circuit calculations
Study area map	A map showing the area studied for locating the proposed electric facilities.	Design	Map
Substation layout drawing	A drawing showing the layout of major items of equipment at a substation site and the fenced boundaries of site.	Design	Drawing
Substation single-line diagram	A diagram showing the basic connection configuration between the electrical components of the substation.	Design	Diagram
Transport Canada approval	A copy of the approval(s) issued by Transport Canada for wind turbine(s).	Authorization	Transport Canada approval

## Appendix 3: Rule 020 applications

[Rule 020: Utility Pipeline Consultation](#) applies to applications for the construction, operation, or modification of gas utility pipeline(s) or pipeline installation(s) of B category < 0.30 kPa H<sub>2</sub>S partial pressure (pp); to flaring, incinerating and venting at gas utility pipelines and pipeline installations; and storage at pipeline installations.

To file an application under Rule 020, first [request a proceeding](#) and then complete an online application form for each pipeline licence in the project.

For each pipeline licence application, complete a Gas utility pipeline licence application form and a Pipeline segment/ pipeline installation identification form for any associated pipeline segment/pipeline installations in the project. The forms are available on the [AUC website](#) in Microsoft Word and Adobe PDF formats.

Upload the forms to the eFiling System under the Application form document type (see [Add application documents](#)).

Different additions and amendments to the same licence can be applied for on the same Gas utility pipeline licence application and Pipeline segment/pipeline installation identification forms.

Separate forms are required for:

- each pipeline category type as defined in Table 6.1 of Rule 020, and
- self-disclosure amendments and additions.

## Appendix 4: Organization's system administrator

As an organization's eFiling System administrator, you manage the eFiling System for your organization. This includes adding and suspending user accounts and updating user account profiles including general information, passwords and notification options.

When the organization [requests an account to access to the eFiling System](#), the AUC creates the organizational profile, sets up the initial settings and sends the information to the email address given for the organization's eFiling System administrator.

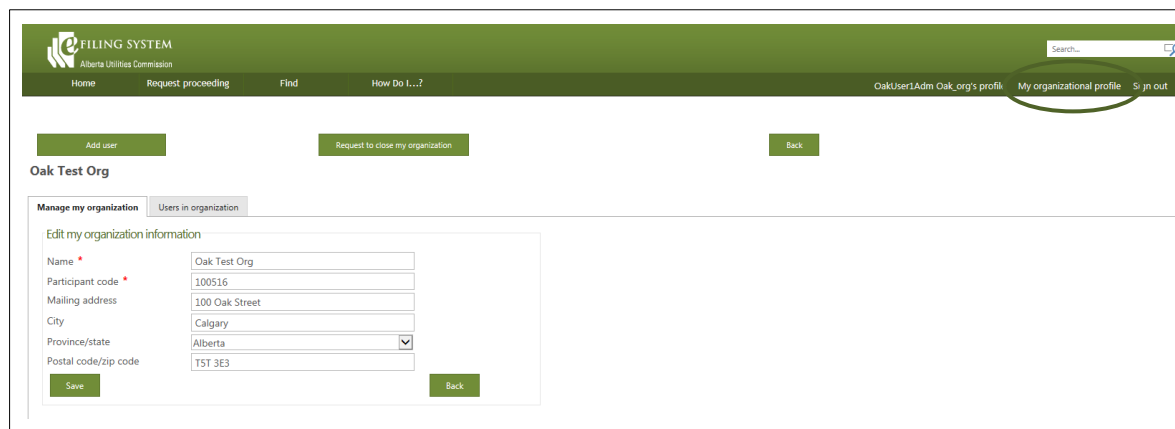
### System functions by role

eFiling System Functions	Administrator	User
Modify their user profile	✓	✓
Create an application	✓	✓
Participate in a proceeding	✓	✓
Create a filing	✓	✓
Participate in a discussion community	✓	✓
Change their own password	✓	✓
Modify general organizational information	✓	
Add organizational users	✓	
Reset user password for their organization's users	✓	
Add other eFiling System administrators for their organization	✓	
Modify general information for all their organization's users	✓	
Suspend/reactivates their organization's users	✓	
Request the organization be removed from the eFiling System	✓	

## Organizational profile

As the organization's eFiling System administrator for your organization, login in with your ID and password assigned by the AUC. The first time you log in, you must enter a security question and answer.


Select **My organizational profile** on the green menu bar.

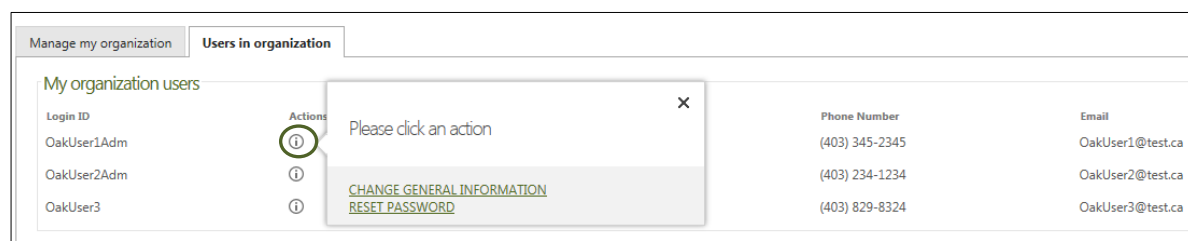





## Add/edit users

Select **Add user** to add new eFiling System users for your organization and enter the following information:

- Login ID (**Required**)
- First name (**Required**)
- Last name (**Required**)
- Email address (**Required**)
- Confirm email address (Required and must be the exact duplicate of the Email address)
- Phone number (**Optional**)
- Assign as administrator (Select to assign a co-administrator)

Click the action icon  beside the User ID to open a pop-up box to change a user's general information or reset their password.



My organization users	Actions	Phone Number	Email
OakUser1Adm		(403) 345-2345	OakUser1@test.ca
OakUser2Adm		(403) 234-1234	OakUser2@test.ca
OakUser3		(403) 829-8324	OakUser3@test.ca

Select **CHANGE GENERAL INFORMATION** to change the user's account information, assign them as administrator and change their account status.

**Note:** If you are the only administrator for your organization, your status cannot be suspended.

Use Unlock user account if users have requested their account to be reopened after three unsuccessful login attempts.

Select **RESET PASSWORD** to send a system generated password to the user's email address. (Users can reset their own password using [Forgot Password.](#))

To remove your organization from the eFiling System, select **Request to close my organization**.

Request to close my organization Oak Test Org


**Important note:**  
**Submitting this request will send a message to the AUC to close the organization account along with all organizational user accounts within this organization**

Closure Type \* ☐ Terminated ☐ Amalgamated

Reason for closure \*

Provide the succeeding organization's information if the closure type "Amalgamated" is selected

Succeeding organization

Effective date  

Select the type of closure and enter a reason for the closure.

If the closure is due to an amalgamation, select the name of the succeeding organization and enter the date the amalgamation is effective. The succeeding organization must already be registered in the eFiling System.

Select **Submit** to show a message stating that the request to the AUC to close the organizations account and all users' accounts within this organization was submitted. A *"Request to terminate organization profile for <organization name>"* email confirmation is also sent to the eFiling administrator.